

Three Rivers Levee Improvement Authority

200-year Goldfields Levee Project

**Urban Flood Risk Reduction
Funding Agreement #4600012115
dated: October 4, 2017**

Quarter 8 Report

July- September 2019

**Submitted by:
Paul G. Brunner, P.E.
Executive Director**



December 27, 2019

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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) near 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. In late September 2019 DWR committed an additional \$9.95 million to the project. Section 7 highlights this item.

2. Summary

Significant activities and milestones occurring in the current quarter, include:

- Complete development of the 90% design and distribute for agency review
- Continuation of real estate appraisals and offers
- Develop justification package to waive purchase of flowage easements

As summarized in Table 2-1 and further detailed in Sections 9 & 10, TRLIA is not requesting an advance payment this quarter for work in future quarters. DWR, has provided advance funds as requested with the Quarter 6 report in the amount of \$5,310,251.63 to continue advancing work within Quarters 7 (April – June 2019) and 8 (July – September 2019). TRLIA is utilizing these funds to continue work associated with finalizing the design and coordinate changes to the original approach associated with WAPA and PGE power transmission line relocation efforts. As a result of changes to the design and the need to no longer relocate the WAPA transmission lines, TRLIA expects that these funds are sufficient to fund all efforts through the 9th Quarter (October – December 2019). Further, because the primary focus of efforts through the 7th and 8th quarters will be the advancement of Right of Way acquisition processes and funding for right of way efforts is provided through the State's separate ROW of way payment processes, no advance funding for these efforts is requested as part of the submission of this Quarter 8 report.

TRLIA is requesting a reimbursement for the Local Share funds expended during the 7th Quarter (April – June 2019) based on available Local Credit and the costs documented within the 7th Quarter SOC submitted with this Quarter 8 report. TRLIA requests reimbursement for the Local Share of expended funds in the amount of \$64,813.

Table 2-1. Quarterly Payment Summary

| Description | Amount |
|--|-----------------|
| 90% of State Share Advance for Elements 1-4, 6&7 [1] | \$0 |
| Local Credit True-Up [2] | \$64,813 |
| Total Quarterly Payment Request | \$64,813 |

[1] No QPR8 Advance Requested

[2] Represents QPR 8 true-Up for Apr-Jun 2019

3. Project Scope of Work

This report covers the following quarters:

- Previous Quarter April – June 2019 (Quarter 7)
- Current Quarter July – September 2019 (Quarter 8)
- Next Quarter October – December 2019 (Quarter 9)

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.

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 way acquisition; performing public outreach; adding the Project to the SPFC; execution of an Operation, Maintenance, Repair, Replacement, and Rehabilitation (OMRR&R) agreements financial reporting; and grant and funding agreement administration, throughout the duration of the Project.

Current Quarter. Same as previous quarter. Additionally, TRLIA continues its effort to pursue USACE participation in the project. See Section 7 for more information.

Next Quarter. Same as previous quarters. Additionally, it is anticipated that a funding agreement with USACE will be executed during the next quarter. See Section 7 for more information.

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

Previous Quarter.

Design: Design activities during the previous quarter were focused on considering agency and SAR comments and developing the 90% design package.

Right-of-Way Support: ROW activities occurring during the previous quarter included completion, submittal, and partial approval of the UFRR Real Estate Plan. The UFRR Relocation Plan was completed in May and approved by DWR in August 2019. The Phase 1 ESAs were completed and transmitted to DWR for their review. Property appraisals for the full take properties were initiated during this time period and outreach with the property owners continued. Additionally, TRLIA is evaluating the need for flowage easements for the agricultural and mining lands waterward of the new levee.

Current Quarter.

Design: Design activities during the current quarter were focused on developing the 90% design package and distribution to the agencies and independent panel (September). TRLIA was able to avoid the relocation of the WAPA transmission tower by “bowing” the levee around the tower. TRLIA is evaluating alternatives to avoid the PG&E transmission tower due to delays in PG&E schedule.

Right-of-Way Support: Significant ROW activities for the current quarter were completed including the updating of the appraisals for the full-take acquisitions. The partial acquisition appraisals were initiated and should be completed in the next quarter. Additionally, TRLIA completed a justification package to support waiving the purchase of flowage easements for the agricultural lands waterward of the new levee and submitted it to DWR for consideration.

Next Quarter.

Design: Design activities planned for the next quarter include development of the 100% design package; preparation of responses to comments on the 90% design package, and continued coordination with utility owners and other stakeholders to finalize design features (e.g., ramps, canals, utilities, etc.). TRLIA has developed

an alternative design that would avoid relocation of the PG&E transmission tower. This alternative design will require approvals from PG&E and CVFPB.

Right-of-Way Support: Significant ROW support activities during the next quarter are expected to continue as TRLIA acquires rights necessary for construction. These include negotiating offers with landowners and initiation of eminent domain proceedings when necessary. TRLIA is requesting expeditious review of appraisals, ESAs, cadastral surveys, and advance funding requests for acquisitions in order to process projected ROW capital payments. On November 7, 2019 DWR provided their concurrence to TRLIA's recommendation that no flowage easement was needed on the waterside of the new levee; but stated the CVFPB still needed to provide their review.

3.4. Element 4: Environmental Review and Permitting

Previous Quarter.

Environmental Review: No Activity.

Permitting: Very limited activities related to permitting occurred during the previous quarter. A revised wetland delineation report and request for a preliminary jurisdictional determination was submitted to the USACE.

Current Quarter.

Environmental Review: No Activity.

Permitting: Activities related to permitting include development and submittal of the Section 404 permit application and the development and submittal of the CVFPB encroachment permit application. Also, TRLIA and RD784 are working on a draft OMRR&R agreement that is needed to be submitted to obtain more than 25% of the state cost share.

Next Quarter.

Environmental Review: Limited activity is planned during the next quarter. With issuance of the 90% design in September, the permitting team will review the revised design to determine need for revisions and/or updates to the EIR.

Permitting: Limited activity is planned during the next quarter. Development and submittal of the Section 401 and 1600 permit applications will occur. The CVFPB

encroachment permit was submitted on October 21, 2019. Also, the draft OMRR&R agreement was submitted to DWR on December 17, 2019.

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

Previous Quarter. No Activity. Certification of the Final SEIR in the previous quarter allows TRLIA to make acquisitions.

Current Quarter. Limited activity. See Element 3 for a discussion of ROW support activities. TRLIA is completing acquisition of the Ludwick property.

Next Quarter. Acquisition of properties are planned to occur during the next quarter, pending negotiations with property owners.

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 the next quarter. However, TRLIA does expect to provide advance payments to PG&E and WAPA for relocation or modification of transmission and distribution facilities, thus allowing for this work to occur shortly thereafter.

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 | Q1 |
| 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 Expense | 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. In September 2018, TRLIA requested that DWR adjust their funding cost share to provide the full allowable share (i.e., 85%) since State funds are available to support full cost share by DWR. The original funding agreement only provided for a state cost share of 79%. Subsequently, in November 2018 and again in April 2019, TRLIA reiterated that request and also requested increases to the Overall Work Plan Budget. The sum of these budget increases is also shown in Table 5-1. In September, DWR sent a letter (attached) committing an additional \$9.95M for a total of \$42.55M, pending amendment of the funding agreement.

Table 5-1. Overall Work Plan Budget

| Element | Description | Funding Agreement Budget | Current Budget | State Share \$ [1] |
|--------------|--|-----------------------------|---------------------|-----------------------|
| 1 | Grant Application | \$25,100 | \$25,100 | \$19,793 |
| 2 | Program Management | \$2,250,000 | \$2,250,000 | \$1,774,288 |
| 3 | Design & ROW Support | \$5,892,300 | \$5,650,000 | \$4,455,434 |
| 4 | Environmental Review & Permitting | \$1,015,700 | \$1,300,000 | \$1,025,144 |
| 5 | ROW Acquisition (Post Add to SPFC) | \$8,327,100 | \$7,174,515 | \$5,657,624 |
| 6 | Construction, Mitigation, & Other Project Activities | \$23,659,900 | \$37,463,115 | \$29,542,377 |
| 7 | Closeout Process (Post Add to SPFC) | \$95,700 | \$95,700 | \$75,466 |
| Total | | \$41,265,800 | \$53,958,430 | \$42,550,126 |

[1] State cost share is 85%. The State share shown in this Table is reflective of the DWR committed request for \$9.95M additional State Funding. Refer to the DWR commitment letter dated September 30, 2019.

6. Deviations in Scope, Schedule, and Budget

There are no scope, schedule, or deviations being raised in this quarterly report. In September, DWR sent a letter (attached) committing an additional \$9.95M for a total of \$42.55M, pending amendment of the funding agreement. The State Share shown in Table 5-1 is reflective of the State's commitment and the pending funding agreement amendment.

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 and USACE permission is not required to construct the project.

TRLIA has discussed how to facilitate the USACE's involvement during design and construction with DWR, CVFPB, and USACE. Two avenues previously discussed, the Floodplain Management Services Program and the Interagency and International Services program, were both determined as not viable by USACE legal. USACE has indicated that a funding agreement pursuant to WRDA18 Section 1305 is the appropriate path forward. TRLIA is working with USACE to execute this agreement.

In October 2019 (during the Next Quarter (October-December) as reported herein), TRLIA met with both DWR and CVFPB regarding path forward for CVFPB approval of the project. This path has been documented in a meeting record and TRLIA is awaiting concurrence from DWR and CVFPB.

7.2. Additional Funding Request

As discussed in several sections above, TRLIA submitted a letter requesting an increase in the overall workplan budget. This letter requested that remaining funding from TRLIA's Feather River Levee Improvement Project (FRLIP) and Upper Yuba River Levee Improvement Project (UYRLIP) Early Implementation Projects be reallocated to the 200-Year Goldfields Levee Project. In a letter in September, DWR committed to an additional \$9.95M of funding, see attached. An amendment to the agreement is pending and currently being processed. The State Share budget shown in tables throughout this report is now reflective of this pending amendment.

8. Legal Issues

There are currently no pending legal actions associated with the project. Legal activity is expected to occur in early 2020 as imminent domain proceedings are necessary.

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 7 (April – June 2019) (reference the Quarter 6 report) as compared to the actual Costs for Quarter 7 (refer to SOC included with this report dated December 20, 2019). **Table 9-1**

also shows the State Share True-Up amount and Local Credit True-Up amounts for the actual costs incurred during Quarter 7 (April – June 2019).

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

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

| Element | Description | State Cost Share | Previously | Actual Costs for Quarter 7 [2] | Difference | Actual State Cost Share | Retention on | Payment By State | Local Creditable Cost Share |
|---------|---|------------------|------------------------|-----------------------------------|---------------------------|----------------------------|----------------------------------|------------------|--------------------------------|
| | | | Projected Costs [1] | | between QTR and Actual | | Actual State Cost Share (10%) | | |
| | | A | B | C | D = B - C | E = C x A | F = E x 10% | G = E - F | H = C x (1 - A) |
| 1 | Grant Application | 85% | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 2 | Program Management | 85% | \$ 124,145 | \$ 135,860 | \$ (11,715) | \$ 115,481 | \$ 11,548 | \$ 103,933 | \$ 20,379 |
| 3 | Design & ROW Support | 85% | \$ 127,781 | \$ 284,782 | \$ (157,001) | \$ 242,065 | \$ 24,206 | \$ 217,858 | \$ 42,717 |
| 4 | Environmental Review & Permitting | 85% | \$ 70,378 | \$ 12,660 | \$ 57,718 | \$ 10,761 | \$ 1,076 | \$ 9,685 | \$ 1,899 |
| 5 | ROW Acquisition | 85% | \$ - | \$ 5,000 | \$ (5,000) | N/A | N/A | N/A | N/A |
| 6 | Construction, Mitigation, & Other Project | 85% | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 7 | Closeout Process | 85% | \$ - | \$ (1,218) | \$ 1,218 | \$ (1,035) | \$ (104) | \$ (932) | \$ (183) |
| | | | \$ 322,303 | \$ 437,084 | \$ (114,781) | \$ 367,271 | \$ 36,727 | \$ 330,544 | \$ 64,813 |

[1] Projected costs for Quarter 7 (refer to QPR6)

[2] Reference SOC dated December 20, 2019 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 1 local share paid by State | \$52,037 |
| Quarter 2 local share paid by State | \$96,436 |
| Quarter 3 local share Paid by State | \$104,449 |
| Quarter 4 local share Paid by State | \$121,286 |
| Quarter 5 local share Paid by State | \$80,551 |
| Pending Quarter 6 local share (subject to DWR Review) | \$108,513 |
| Pending Quarter 7 Local Share (subject to DWR Review) | \$64,813 |
| Remaining Authorized Local Credit | \$509,634 |

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.

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). [Note – this Table is not applicable as no advance is requested with this Quarter 8 report].

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

| Element | Description | True Up Costs | True Up Cost | Total True Up | State Share of | Retention on | State Share of | Payments | True Up Funding |
|---------|---|---------------|--------------|---------------|----------------|----------------|----------------|--------------|-----------------|
| | | QTR 7 [1] | QTR 1-6 [2] | Costs | True Up Costs | State Share of | True Up Costs | Received [3] | |
| | | A | B | C = A + B | D = 0.85 * C | E = D x 10% | F = D - E | G | H = F - G |
| 1 | Grant Application | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - | \$ - |
| 2 | Program Management | \$ 135,860 | \$ 615,498 | \$ 751,358 | \$ 638,654 | \$ 63,865 | \$ 574,789 | \$ 535,280 | \$ 39,509 |
| 3 | Design & ROW Support | \$ 284,782 | \$ 2,458,831 | \$ 2,743,613 | \$ 2,332,071 | \$ 233,207 | \$ 2,098,864 | \$ 1,518,275 | \$ 580,589 |
| 4 | Environmental Review & Permitting | \$ 12,660 | \$ 519,035 | \$ 531,695 | \$ 451,941 | \$ 45,194 | \$ 406,747 | \$ 379,403 | \$ 27,344 |
| 5 | ROW Acquisition | \$ 5,000 | \$ 257,437 | \$ 262,437 | N/A | N/A | N/A | \$ - | N/A |
| 6 | Construction, Mitigation, & Other Project | \$ - | \$ 50,000 | \$ 50,000 | \$ 42,500 | \$ 4,250 | \$ 38,250 | \$ - | \$ 38,250 |
| 7 | Closeout Process | \$ (1,218) | \$ - | \$ (1,218) | \$ (1,035) | \$ (104) | \$ (932) | \$ - | \$ (932) |
| | | \$ 437,084 | \$ 3,900,802 | \$ 4,337,886 | \$ 3,464,131 | \$ 346,413 | \$ 3,117,718 | \$ 2,432,958 | \$ 684,760 |

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

[2] Reference Previously Approved DWR Statement of Costs for QTR1-6

[3] Payments received through June 2019

Table 10-1. TRLIA - 200-Year Goldfields Levee Project: Summary of Payment Request and Comparison to State Share Budget

| Element | Description | Prior State | State Share | Remaining State | Pending | State Share of | Remaining State |
|---------|---|--|---------------|-----------------|-------------------------|--------------------------|-----------------|
| | | Payments (Advances and True Ups) [1] | Budget | Share Budget | Advanced Request [2] | Projection Quarter 10 | Share Budget |
| | | A | B | C = B - A | D | E | F = C - D |
| 1 | Grant Application | \$ - | \$ 19,793 | \$ 19,793 | \$ - | \$ - | \$ 19,793 |
| 2 | Program Management | \$ 762,197 | \$ 1,774,288 | \$ 1,012,091 | \$ - | \$ - | \$ 1,012,091 |
| 3 | Design & ROW Support | \$ 1,939,083 | \$ 4,455,434 | \$ 2,516,351 | \$ - | \$ - | \$ 2,516,351 |
| 4 | Environmental Review & Permitting | \$ 596,369 | \$ 1,025,144 | \$ 428,775 | \$ - | \$ - | \$ 428,775 |
| 5 | ROW Acquisition | \$ - | \$ 5,657,624 | \$ 5,657,624 | \$ - | \$ - | \$ 5,657,624 |
| 6 | Construction, Mitigation, & Other Project | \$ 5,072,906 | \$ 29,542,377 | \$ 24,469,470 | \$ - | \$ - | \$ 24,469,470 |
| 7 | Closeout Process | \$ - | \$ 75,466 | \$ 75,466 | \$ - | \$ - | \$ 75,466 |
| | | \$ 8,370,555 | \$ 42,550,126 | \$ 34,179,571 | \$ - | \$ - | \$ 34,179,571 |

[1] Includes all State Payments received and pending to date

[2] All pending requests

Table 10-3. TRLIA - 200-Year Goldfields Levee Project: Payment Requests and State Disbursements

| Report | Payment Request Date | Payment Type | Payment Receipt Date | Credit Portion | State Portion | Total Payment Amount | Notes |
|-------------------------------|----------------------|--------------|----------------------|---------------------|---------------------|----------------------|---------------------------------|
| QPR1 | 2/23/2018 | Advance | 3/9/2018 | \$0 | \$1,051,439 | \$1,051,439 | Q1&Q2 Advance |
| QPR2 | 3/28/2018 | Advance | 9/17/2018 | \$52,037 | \$489,201 | \$541,238 | Q3 Advance, Q1 Local True-Up |
| QPR3 | 6/12/2018 | Advance | 8/21/2018 | \$96,436 | \$674,422 | \$770,858 | Q4 Advance, Q2 Local True-Up |
| QPR4 | 12/28/2018 | Advance | 2/7/2019 | \$104,449 | \$0 | \$104,449 | Q5&Q6 Advance, Q3 Local True-Up |
| QPR5 | 1/23/2019 | Advance | 3/28/2019 | \$121,286 | \$217,895 | \$339,181 | Q6&Q7 Advance, Q4 Local True-Up |
| QPR6 | 7/1/2019 | Advance | 8/22/2019 | \$80,551 | \$5,310,251 | \$5,390,802 | Q8 Advance, Q5 Local True-Up |
| *QPR7 | 8/1/2019 | True-Up | In Progress | \$107,775 | \$0 | \$107,775 | Q6 Local True-Up |
| *QPR8 | 12/20/2019 | True-Up | In Progress | \$64,813 | \$0 | \$64,813 | Q7 Local True-Up |
| Cumulative Payments | | | | \$627,346 | \$7,743,209 | \$8,370,555 | |
| Total Grant Amount [1] | | | | \$11,408,304 | \$42,550,126 | \$53,958,430 | |
| Grant Amount Remaining | | | | \$10,780,958 | \$34,806,918 | \$45,587,875 | |

* 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.

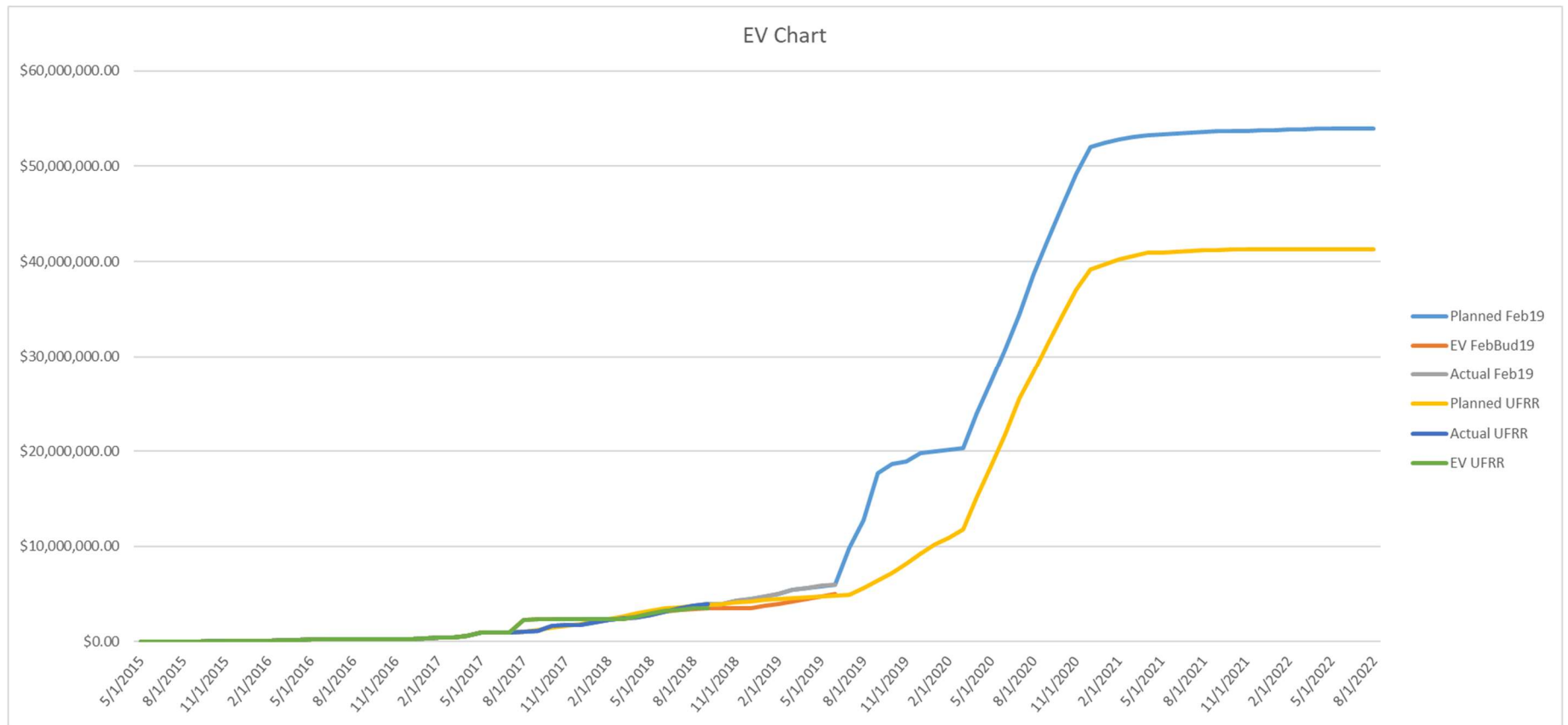
11.3. 200-Year Deliverables

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 deliverable's 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 | \$1,218,037 | 54.1% | 99.0% | \$1,145,792 | 50.9% | \$2,227,500 |
| 3 | Design & ROW Support | \$5,650,000 | \$3,488,260 | 61.7% | 43.0% | \$3,369,829 | 59.6% | \$2,429,500 |
| 4 | Envrionmental Review & Permitting | \$1,300,000 | \$901,784 | 69.4% | 27.0% | \$1,100,217 | 84.6% | \$351,000 |
| 5 | ROW Acquisition (Post Add to SPFC) | \$7,174,515 | \$262,437 | 3.7% | 0.0% | \$257,437 | 3.6% | \$0 |
| 6 | Construction, Mitigation, & Other Project Acti | \$37,463,115 | \$50,750 | 0.1% | 0.0% | \$50,750 | 0.1% | \$0 |
| 7 | Closeout Process (Post Add to SPFC) | \$95,700 | -\$1,218 | -1.3% | 0.0% | \$0 | 0.0% | \$0 |
| | | \$53,958,430 | \$5,945,090 | 11.0% | 9.3% | \$5,949,064 | 11.0% | \$5,033,100 |

[1] Total Cost As of June 2019



[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 |
|---|-----------------------------|-----------------------|-------------------------|
| Final Real Estate Accounting Packages | Rolling. Q8-Q17. 2019-2021 | Not Submitted | Not Accepted. |
| Flood Risk Resolution | Q9. 2018 | Not Submitted | Not Accepted. |
| USFWS Section 7 | Q10. 2020 | Not Submitted | NA |
| SHPO Section 106 | Q10. 2020 | Not Submitted | NA |
| USACE NEPA Document | Q10. 2020 | Not Submitted | NA |
| 404 Permit | Q10. 2020 | Not Submitted | NA |
| RWQCB 401 Permit | Q10. 2020 | Not Submitted | NA |
| DFW 1602 SAA | Q10. 2020 | Not Submitted | NA |
| Encroachment Permit | Q10. 2020 | 10-21-2019 | 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 | 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. |
| Addition to the SPFC | Q15. 2021 | Not Submitted | Not Accepted. |
| Construction Completion Report | Q15. 2021 | Not Submitted | Not Accepted. |
| Project Completion Report | Q16. 2021 | Not Submitted | Not Accepted. |
| | | | |
| 90% Design Package | | Q8. 2019 | Comments Received |
| RE Environmental Site Assessments | | Q8. 2019 | Accepted in Q9. |
| Project Real Estate Plan | | Q7. 2019 | Partial approval in Q8. |
| Real Estate Appraisals | Rolling | Started in Q7. | Not Accepted. |
| 65% Design Package | | Q6. 2018 | Comments Received |
| AB 52 Consultation | | Q6. 2018 | NA |
| CEQA Supplement | | Q6. 2018 | NA |
| Clear Path to SPFC Requirement | | Q5. 2018 | NA |
| 408 Permission | Not Required. | | |
| Section 221 Credit MOU | NA | | |
| 2081 Permit | Not Required. | | |

12. ATTACHMENTS

1. DWR Letter 9-30-2019
2. Record of 10-9-2019 Meeting

ATTACHMENT 1

STATE OF CALIFORNIA – CALIFORNIA NATURAL RESOURCES AGENCY

Gavin Newsom, Governor

DEPARTMENT OF WATER RESOURCES

DIVISION OF FLOOD MANAGEMENT
P.O. BOX 219000
SACRAMENTO, CA 95821-9000



September 30, 2019

Mr. Paul G. Brunner, P.E.
Executive Director
Three Rivers Levee Improvement Authority
1114 Yuba Street, Suite 218
Marysville, California 95901

TRLIA 200-Year Goldfields Levee Project Funding Update

Dear Mr. Brunner:

This letter serves as a follow up to our conditional commitment letter sent to Three Rivers Levee Improvement Authority (TRLIA) on May 15, 2015. As mentioned in that letter, the Department of Water Resources (DWR) conditionally committed up to \$32,600,000 to the 200-year Goldfields Setback Levee Project. At DWR's request TRLIA submitted Proposition 1E Funds Status Letters for their Proposition 1E funded projects. The Proposition 1E funding status was requested was due to time limitations for spending allocated funds.

TRLIA identified a total of \$3,950,126 of excess funding, \$1,179,001 from the Feather River Levee Improvement Project (FRLIP) and \$2,071,125 from the Upper Yuba River Levee Improvement Project (UYRLIP). TRLIA also identified a need of an additional \$13,264,665 in funding for the TRLIA 200-year Goldfields Levee Project.

DWR has identified \$6,000,000 of funding that can be applied to the TRLIA 200-year Goldfields Levee Project. Along with the \$3,950,126 of excess funds identified from TRLIA's FRLIP and UYRLIP projects DWR is conditionally committing \$9,950,126 of Proposition 1E funding for the TRLIA 200-year Goldfields Levee Project for a total of \$42,550,126 pending a funding agreement amendment.

If you have any questions regarding this matter, please contact Robert E. Scarborough, Project Manager at 916-574-1422 or by email at robert.scarborough@water.ca.gov.

Sincerely,

A handwritten signature in black ink, appearing to read "J. Arrich".

Jeremy Arrich, Chief
Division of Flood Management

ATTACHMENT 2



MEETING RECORD

October 25, 2019

| | |
|---------------------|--|
| SUBJECT | 200-Year Goldfields Levee Project |
| MEETING DATE | October 9, 2019 at CA JOC Annex |
| ATTENDEES | TRLIA – Paul Brunner, Ric Reinhardt, Claire Marie Turner CVFPB –Greg Harvey, Connie Perkins, Michael Wright DWR – Todd Bernardy, Mike Musto, Bob Scarborough |

On October 9, 2019, TRLIA staff met with staff from CVFPB and DWR to discuss the procedures for the CVFPB's approval of the 200-Year Goldfields Levee Project (GF200) and how the project would be added to the Sacramento River Flood Control Project and State Plan of Flood Control. TRLIA provided a recommended approach and timeline for this approach (Attachment 1). This document records the decisions and path forward agreed to at the meeting.

1. CVFPB will provide its approval through the encroachment permit process.

Although other processes could be pursued, there was collective agreement that an encroachment permit would be the most straightforward approach, despite the uniqueness of the project's authorized status.

TRLIA was tasked with submitting the encroachment permit application (completed) to CVFPB. The CVFPB would in turn transmit the package to USACE. During the meeting, the need for Section 408 permission was discussed. TRLIA provided an email from Ryan Larson (USACE) indicating that because the project was authorized by Congress (Section 1305, WRDA 2018), no Section 408 permission was required. CVFPB staff agreed that a similar response to their transmittal of the permit application would be sufficient for their permit documentation.

Upon issuance of the permit, TRLIA will begin construction. The permit hearing will occur in February 2020, and an informational briefing will occur in December 2019 (preferred) or January 2020.

2. TRLIA will pursue a cooperation agreement with the USACE.

In order for USACE to participate in the project, a cooperation agreement (funding vehicle) needs to be executed. There is uncertainty on the type of agreement that would be required, and the timing to process such an agreement. If the agreement is non-standard and requiring approval of by the ASA(CW), it could take over twelve months to execute. Regardless, an agreement would provide an avenue to fund

USACE to review the project construction, amend the 1953 MOU, and update the Unit 145 O&M Supplement. Processing of the cooperation agreement would begin in late 2019 and execution of the agreement would likely not occur until after construction in late 2020 or 2021.

3. Execution of the 1953 MOU

The CVFPB signature to the 1953 MOU will provide the USACE with assurances to OMRR&R the new project. The cooperation agreement TRLIA is pursuing will provide the vehicle to fund the USACE's execution of the MOU amendment. Acceptance into the SPFC would occur with the CVFPB's execution of the 1953 MOU amendment. Execution of the MOU amendment is not expected to occur until after construction.

Attachment 1 - Timeline

200-YEAR GOLDFIELDS LEVEE PROJECT

10/09/2019

CONSTRUCTION PROCESS



ADDITION TO SRFCP & SPFC PROCESS

