

**Three Rivers Levee Improvement Authority**

**200-year Goldfields Levee Project**

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

**Combined Quarter 16 & 17 Report**

**July - September 2021**

**October – December 2021**

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**November 15, 2021**

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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 current cost of the Project is \$53,958,430. The State increased its funding commitment to \$42,529,251.

Three amendments have been executed. The first amendment was executed in April 2020 and increased the budget to its current amount. The second amendment was executed in January 2021 and incorporated work at Crossing 321 and Site J Saddle. TRLIA did not request additional grant funds for this work (i.e., this work will be accomplished within the existing UFRR project budget). A third amendment incorporates the design, environmental compliance, and initial implementation of work needed to pass the 500-year flood event. Again, TRLIA did not request additional grant funds for this work (i.e., this work will be accomplished within the existing UFRR project budget). The third amendment was executed in August 2021 by TRLIA and DWR and subsequently approved in September 2021 by DGS.

## **2. Summary**

This report combines two quarters: Quarter 16, July – September 2021, and Quarter 17, October – December 2021. Any references to “the”, “this”, or “current” quarter mean both Quarter 16 and Quarter 17.

Activity during the current quarter is limited to outstanding construction items, construction documentation efforts, adding the project to the SPFC and SRFCP, and other minor associated activities for the GF200 project; construction documentation effort for Crossing 21 and Site J Saddle; and environmental and design efforts for the 500-Year project.

Table 2-1 on the following page summarizes the total payment requested with this report.

**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]	\$0
<b>Total Quarterly Payment Request</b>	<b>\$0</b>

[1] Represents Quarter 19. Excludes ROW Capital Costs (Element 5)

[2] Represents QPR 17 True-Up for Jul-Sept 2021

### 3. Project Scope of Work

This report covers the following quarters:

- Previous Quarter      April – June 2021 (Quarter 15)
- Current Quarter        July – September (Quarter 16) & October – December (Quarter 17)
- Next Quarter            January – March 2022 (Quarter 18)

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 program management activities are focused on construction and completing ROW actions for the GF200 project and design and environmental review of the 500-yr project. Typical administration activities continue.

**Current Quarter.** Activities in the current quarter are similar to the previous quarter.

**Next Quarter.** Activities in the next quarter will be similar to the current quarter, though activities associated with the GF200 project will be reduced and activities for the 500-year project will continue.

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

**Previous Quarter.**

Design: Design activities for GF200, Crossing 21, and Site J Saddle have generally ceased. Design of the 500-year project transitioned from alternatives analysis to 35% design.

Right-of-Way Support: ROW activities for the GF200 were focused on relocation proceedings for the Mills residence and development of accounting packages.

#### **Current Quarter.**

Design: Significant work on the design of the 500-year project will be performed with development of a 35% design package.

Right-of-Way Support: ROW activities for the GF200 are focused on relocation proceedings for the Mills residence and completion of accounting packages. Additionally, development of the land transfer package will occur. The Mills family relocation was completed in September 2021. The current status of acquisitions is provided in Section 3.5. Preliminary review of real estate needs for the 500-year project began.

#### **Next Quarter.**

Design: Some outstanding documentation remains to complete the administrative record and will be accomplished as part of construction close-out. Design activity, as scoped in the workplan, for the 500-year project will be completed.

Right-of-Way Support: ROW activities for the GF200 will be limited to processing the land transfer package and FAPs with DWR. Preliminary review of real estate needs for the 500-year project will continue with completion of the 35% design.

### **3.4. Element 4: Environmental Review and Permitting**

*Environmental review activities for GF200, Crossing 21, and Site J Saddle are complete.*

#### **Previous Quarter.**

Environmental Review: Environmental review activities in support of an EIR for the 500-year project began.



Permitting: Permitting activities for Crossing 21 and Site J Saddle are complete with completion of construction. Permitting activities for GF200 are limited, and primarily focused on close-out, including amending the 1953 MOU.

**Current Quarter.**

Environmental Review: Environmental review activities for the 500-year project continue. A Notice of Preparation was issued during the current quarter and public comments are being sought.

Permitting: Permitting activities for GF200 continue to be limited, and primarily focused on close-out and amending the 1953 MOU.

**Next Quarter. 3**

Environmental Review: Environmental review activity for the 500-year project will continue with development of the EIR.

Permitting: Permitting activities for GF200 continue to be limited, and primarily focused on close-out and amending the 1953 MOU.

**3.5. Element 5: Right-of-Way Acquisition**

*Acquisitions for the GF200, Crossing 21, and Site J Saddle project are complete.*

**Previous Quarter. Additional** Final Accounting Packages were submitted to DWR for approval (see table below).

**Current Quarter.** The final two Final Accounting Packages will be submitted to DWR for approval (see table below).

**Next Quarter.** TRLIA will be awaiting processing and approval by DWR of the FAPs. Acquisitions for the 500-year project continue will be evaluated once engineering and design identify a project footprint.

Owner	CVFPB #	APN #	FAP Actual Submittal	FAP Approval
Barker	14089	018-150-063	12/28/2020	
Clift	14094	018-180-074	3/9/2021	
Gallier, Theresa	14104	018-180-066	7/8/2021	
Gallier, Ludwick Rohleder	14097	018-180-078	9/10//2021	

Ludwick Albert	14095	018-180-079	9/28/2020	
Ludwick Chris	14096	018-180-070	12/18/2019	yes
Mills, Angie	14106	Tenant Only	9/24/2021	
Nunes, Nancy	14101	018-180-085	9/24/2021	
Road 1034, (Heirs of Beery)	14092	No APN	(Pending)	
Sanders	14093	018-180-072, 018-180-073	7/1/2021	
Triangle Properties, Inc	14099	018-150-010, 018-170-020	(Pending)	
	14100	018-150-56		
	14091	018-150-057		
USA-Beale AFB	14098	019-170-039	(Pending)	
Wilbur	14107	018-150-012, 082	11/19/2020	
Relocation FAP	-	-	(Pending)	

### 3.6. Element 6: Construction, Mitigation, and other Project activities

**Previous Quarter.** Construction and construction-related activities for the GF200 occurred during the quarter.

**Current Quarter.** Construction and construction-related activities for the GF200 continue, with the outstanding items being the monitoring wells, gate modifications, and punch-list items. Work at Site J Saddle and Crossing 21 was completed during the current quarter. Construction documentation for all three projects is under development with submittal to the State occurring in the quarter.

**Next Quarter.** Construction and construction-related activities will be extremely limited, and focused on final documentation.

### 3.7. Element 7: Closeout Process

**Previous Quarter.** No Activity

**Current Quarter.** No Activity

**Next Quarter.** Close-out activity will begin in the next quarter.

## 4. Project Schedule

The project schedule was updated to reflect the two-year construction sequence for GF200, certification to 2022, and the 500-year project. 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

ID	Task Name	Duration	Start	Finish	2016	2017	2018	2019	2020	2021	2022
1	<b>Element 1: Grant Application</b>	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	<b>Element 2: Program Management</b>	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	<b>Element 3: Design and Right of Way Support</b>	1380 days	Mon 9/19/16	Fri 12/31/21							
8	Feature 1: Design	901 days	Mon 9/19/16	Mon 3/2/20							
9	Feature 2: Right of Way Support	1263 days	Wed 3/1/17	Fri 12/31/21							
10	<b>Element 4: Environmental Review and Permitting</b>	1293 days	Wed 1/18/17	Fri 12/31/21							
11	Feature 1: CEQA and NEPA Process	700 days	Mon 5/1/17	Fri 1/3/20							
12	Feature 2: Permitting and Addition to the SPFC	1293 days	Wed 1/18/17	Fri 12/31/21							
13	<b>Element 5: Right of Way Acquisition (Post Addition to SPFC)</b>	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	<b>Element 6: Construction, Mitigation, and Other Project Activities (Post Addition to SPFC)</b>	606 days	Tue 11/5/19	Tue 3/1/22							
16	Feature 1: Construction	392 days	Wed 4/1/20	Thu 9/30/21							
17	Feature 2: Construction Management	458 days	Wed 4/1/20	Fri 12/31/21							
18	Feature 3: Environmental Mitigation	107 days	Tue 11/5/19	Wed 4/1/20							
19	Feature 4: O&M Manual Addendum	478 days	Wed 3/4/20	Fri 12/31/21							
20	Feature 5: Certification	281 days	Tue 2/2/21	Tue 3/1/22							
21	Feature 6: Crossing 21 and Site J Saddle	152 days	Fri 1/1/21	Sat 7/31/21							
22	<b>Element 7: Closeout Process (Post Addition to SPFC)</b>	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							
24	<b>Element 8: 500-Year Project</b>	282 days	Thu 4/1/21	Sun 5/1/22							
25	Feature 1: Design and Right of Way	12 emons	Thu 4/1/21	Sun 3/27/22							
26	Feature 2: Environmental Review and Permitting	13 emons	Thu 4/1/21	Tue 4/26/22							
27	Feature 3: Construction, Mitigation, and Other Activities	1 emon	Fri 4/1/22	Sun 5/1/22							

## 5. Project Budget

The current *Overall Work Plan Budget* reflective of Amendment No. 3 to the Funding Agreement is summarized in Table 5-1.

The current State funding commitment of \$42,529,251 is 79% of the projected project cost. The allowable State cost share for this project is 85%, which is \$45,864,665. The current and amended funding agreement allow the State to increase the State funding to the full 85% amount should funding become available.

**Table 5-1. Overall Work Plan Budget**

Element	Description	Current Budget	State Share \$ [1]
1	Grant Application	\$25,100	\$19,783
2	Program Management	\$3,500,000	\$2,758,649
3	Design & ROW Support	\$5,865,000	\$4,622,708
4	Environmental Review & Permitting	\$1,605,000	\$1,265,038
5	ROW Acquisition (Post Add to SPFC)	\$8,500,000	\$6,699,577
6	Construction, Mitigation, & Other Project Activities	\$31,498,330	\$24,826,526
7	Closeout Process (Post Add to SPFC)	\$111,000	\$86,700
8	500-Year Project	\$2,855,000	\$2,250,270
<b>Total</b>		<b>\$53,959,430</b>	<b>\$42,529,251</b>

[1] State cost share is 85%. The State share shown in this Table is reflective of Amendment No. 3 to the Funding Agreement.

## 6. Deviations in Scope, Schedule, and Budget

The schedule was updated to reflect the two-season construction schedule (2020/2021). Several task schedules have changed as a result, but TRLIA still anticipates delivering the Project within the original timeframe (2021), and prior to the expiration of the UFRR Funding Agreement (2022).

## 7. Special Topics

### 7.1. Federal Authorization of the Project and Additional to the SPFC

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.

In May 2020, TRLIA and USACE executed a Memorandum of Agreement (MOA) to provide USACE with TRLIA's funds to participate in design, construction, and adoption of the project into the Sacramento River Flood Control Project. Funds to support the USACE's review have been provided and USACE is participating in construction oversight.

TRLIA has submitted a draft amendment to the MOU to USACE and CVFPB. As of this quarter, USACE's office of counsel is review the document to determine necessary process. It is expected that their review of the project and post-construction documentation will be required before execution of an amendment to the 1953 MOU (i.e., adding the levee reach to the SRFCP) and incorporating the project into the O&M Manual. In addition to the draft amendment, TRLIA has also submitted a construction completion report. The revisions to the Federal O&M Manual will be submitted this quarter.

## 8. Legal Issues

There are currently no legal issues associated with the project.

## 9. Actual and Projected Costs

**Table 9-1** provides a summary of the actual Costs for Quarter 15 & 16 (refer to SOC's included with this report dated November 10, 2021). **Table 9-1** also shows the State Share True-Up amount and Local Credit True-Up amounts for the actual costs incurred during the quarters. **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 A	Actual Costs for	Actual State Cost	Retention on	True Up Payment	Local Creditable
			Quarter 15 & 16 [2] C	Share E = C x A	Actual State Cost Share (10%) F = E x 10%	By State G = E - F	Cost Share H = C x (1 - A)
1	Grant Application	85%	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	85%	\$ 562,079	\$ 477,767	\$ 47,777	\$ 429,990	\$ 84,312
3	Design & ROW Support	85%	\$ 23,581	\$ 20,044	\$ 2,004	\$ 18,040	\$ 3,537
4	Environmental Review & Permitting	85%	\$ 15,822	\$ 13,449	\$ 1,345	\$ 12,104	\$ 2,373
5	ROW Acquisition	85%	N/A	N/A	N/A	N/A	N/A
6	Construction, Mitigation, & Other Project Aspects	85%	\$ 4,471,774	\$ 3,801,008	\$ 380,101	\$ 3,420,907	\$ 670,766
7	Closeout Process	85%	\$ -	\$ -	\$ -	\$ -	\$ -
8	500-Year Project	85%	\$ 665,745	\$ 565,883	\$ 56,588	\$ 509,295	\$ 99,862
			\$ 5,739,000	\$ 4,878,150	\$ 487,815	\$ 4,390,335	\$ 860,850

[1] Reference the 16th & 17th SOC dated November 10, 2021 subject to DWR Review

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

<b>Total Use of Credit</b>	<b>Amount</b>
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	\$122,466
Quarter 5 local share Paid by State	\$80,551
Quarter 6 local share Paid by State	\$107,683
Quarter 7 local share Paid by State	\$64,826
Quarter 8 local share Paid by State	\$100,052
Quarter 9 local share Paid by State	\$84,531
Quarter 10 Local share Paid by State	\$81,302
Quarter 11 Local share Paid by State	\$225,741
Pending Quarter 12 Local Share to be Paid by State	\$17,644
<b>Remaining Authorized Local Credit</b>	<b>\$0</b>



## 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 retention held to date.

**Table 10-2** provides the detail of any excess funding (or funding due). 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 documented within TRLIA's Statement of Costs.

**Table 10-3** 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 10-4** presents the requested State Share payments by Project element as well as retention held.

**Table 10-1. TRLIA - 200-Year Goldfields Levee Project: Held Retention**

Element	Description	True Up Costs		Total True Up Costs	State Share of True Up Costs	Retention on State Share of True Up Costs (10%) [3]
		QTR 15 & 16 [1]	QTR 1-14 [2]			
		A	B	C = A + B	D = 0.85 * C	E = D x 10%
1	Grant Application	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	\$ 562,079	\$ 2,064,771	\$ 2,626,849	\$ 2,232,822	\$ 223,282
3	Design & ROW Support	\$ 23,581	\$ 4,070,938	\$ 4,094,519	\$ 3,480,341	\$ 348,034
4	Environmental Review & Permitting	\$ 15,822	\$ 953,386	\$ 969,208	\$ 823,827	\$ 82,383
5	ROW Acquisition	N/A	N/A	N/A	N/A	N/A
6	Construction, Mitigation, & Other Project Aspects	\$ 4,471,774	\$ 17,011,095	\$ 21,482,869	\$ 18,260,439	\$ 1,826,044
7	Closeout Process	\$ -	\$ -	\$ -	\$ -	\$ -
8	500-Year Project	\$ 665,745	\$ -	\$ 665,745	\$ 565,883	\$ 56,588
		\$ 5,739,000	\$ 24,100,190	\$ 29,839,190	\$ 25,363,312	\$ 2,536,331

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

[2] Reference Previously Approved DWR Statement of Costs for QTR1-14

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

Element	Description	Total True Up Costs		Initial & Supplemental Costs	Total Costs to Date	State Share of True Up Costs	DWR Payments Received to Date	True-Up Funding Due
		QTR 15-16 [1]	QTR 1-14 [1]					
		A	B	C	D = A + B + C	D = 0.85 * C	E	F = D - E
1	Grant Application	\$ -	\$ -	\$ 25,040	\$ 25,040	\$ 21,284	\$ 21,284	\$ -
2	Program Management	\$ 562,079	\$ 2,064,771	\$ 276,517	\$ 2,903,366	\$ 2,467,861	\$ 1,773,891	\$ 693,970
3	Design & ROW Support	\$ 23,581	\$ 4,070,938	\$ 673,429	\$ 4,767,948	\$ 4,052,756	\$ 4,566,347	\$ (513,591)
4	Environmental Review & Permitting	\$ 15,822	\$ 953,386	\$ 363,506	\$ 1,332,714	\$ 1,132,807	\$ 1,265,308	\$ (132,501)
5	ROW Acquisition	N/A	N/A	N/A	N/A	N/A	N/A	N/A
6	Construction, Mitigation, & Other Project Aspects	\$ 4,471,774	\$ 17,011,095	\$ -	\$ 21,482,869	\$ 18,260,439	\$ 20,702,405	\$ (2,441,966)
7	Closeout Process	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
8	500-Year Project	\$ 665,745	\$ -	\$ -	\$ 665,745	\$ 565,883	\$ -	\$ 565,883
		\$ 5,739,000	\$ 24,100,190	\$ 1,338,491	\$ 31,177,682	\$ 26,501,029	\$ 28,329,235	\$ (1,828,205)

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

[2] Reference Previously Approved DWR Statement of Costs for QTR 1-14

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

Report	Payment Request Date	Payment Receipt Date	Credit Portion	State Portion	Total Payment Amount
QPR1	2/23/2018	3/9/2018	\$0	\$1,051,439	\$1,051,439
QPR2	3/28/2018	9/17/2018	\$52,037	\$489,201	\$541,238
QPR3	6/12/2018	8/21/2018	\$96,436	\$674,422	\$770,858
QPR4	12/28/2018	2/7/2019	\$104,449	\$0	\$104,449
QPR5	1/23/2019	3/28/2019	\$122,466	\$216,715	\$339,181
QPR6	7/1/2019	8/22/2019	\$80,551	\$5,310,252	\$5,390,803
QPR7	8/1/2019	7/6/2020	\$107,683	\$0	\$107,683
QPR8	12/20/2019	7/6/2020	\$64,826	\$0	\$64,826
QPR9	2/7/2020	5/4/2020	\$100,052	\$9,146,462	\$9,246,514
QPR10	5/4/2020	7/30/2020	\$84,531	\$4,805,725	\$4,890,256
QPR11	8/3/2020	10/30/2020	\$81,302	\$2,505,701	\$2,587,003
QPR12	11/9/2020	12/28/2020	\$225,741	\$2,991,600	\$3,217,341
QPR13	2/16/2021	4/2/2021	\$17,644	\$0	\$17,644
QPR14	6/9/2021	None Due	\$0	\$0	\$0
[1]QPR15	8/4/2021	None Due	\$0	\$0	\$0
[1]QPR16&17	This Report	None Due	\$0	\$0	\$0
<b>Cumulative Payments</b>			<b>\$1,137,718</b>	<b>\$27,191,518</b>	<b>\$28,329,235</b>
[1] Subject to DWR Review					
<b>Real Estate Payments Received</b>					<b>\$6,514,716</b>
<b>Total State Payments Received</b>					<b>\$34,843,951</b>
<b>Construction Retention Held</b>					<b>\$2,536,331</b>
<b>Real Estate Retention Held</b>					<b>\$703,312</b>
<b>Total Grant Amount</b>					<b>\$42,529,251</b>
<b>[1] Grant Amount Remaining</b>					<b>\$4,445,657</b>

**Table 10-4. TRLIA - 200-Year Goldfields Levee Project: State Advance Payments by Element**

Element Description	QPR1	QPR2	QPR3	QPR5	QPR6	QPR9	QPR10	QPR11	QPR12 [1]	Advance Payments Received	Init & Supp Credit [2]	Total Received	Budget	Retention Held [3]	Remaining Budget [3]
1 Grant Application	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$21,284	\$21,284	\$19,783	\$0	-\$1,500
2 Program Management	\$185,425	\$59,006	\$158,002	\$132,847	\$17,802	\$204,613	\$278,209	\$112,948	\$390,000	\$1,538,852	\$235,039	\$1,773,891	\$2,758,649	\$223,282	\$761,475
3 Design & ROW Support	\$704,079	\$384,609	\$478,453	-\$50,046	\$211,693	\$815,819	\$1,203,799	\$223,927	\$21,600	\$3,993,932	\$572,415	\$4,566,347	\$4,622,708	\$348,034	-\$291,673
4 Environmental Review & Permitting	\$161,935	\$45,587	\$37,969	\$133,914	\$7,850	\$59,107	\$177,351	\$152,615	\$180,000	\$956,328	\$308,980	\$1,265,308	\$1,265,038	\$82,383	-\$82,653
5 ROW Acquisition (Post Add to SPFC)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	\$6,514,716	\$6,699,577	\$703,312	-\$518,451
6 Construction, Mitigation, & Other Project A	\$0	\$0	\$0	\$0	\$5,072,906	\$8,066,923	\$3,146,365	\$2,016,212	\$2,400,000	\$20,702,407	\$0	\$20,702,407	\$24,826,526	\$1,826,044	\$2,298,075
7 Closeout Process (Post Add to SPFC)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$86,700	\$0	\$86,700
8 500-Year Project	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$2,250,270	\$56,588	\$2,193,682
<b>Total</b>	<b>\$1,051,439</b>	<b>\$489,202</b>	<b>\$674,423</b>	<b>\$216,715</b>	<b>\$5,310,251</b>	<b>\$9,146,462</b>	<b>\$4,805,725</b>	<b>\$2,505,701</b>	<b>\$2,991,600</b>	<b>\$27,191,518</b>	<b>\$1,137,718</b>	<b>\$34,843,951</b>	<b>\$42,529,251</b>	<b>\$3,239,643</b>	<b>\$4,445,657</b>

[1] Funding received through QPR12

[2] Authorized Initial & Supplemental Credit complete as of QPR13

## **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.

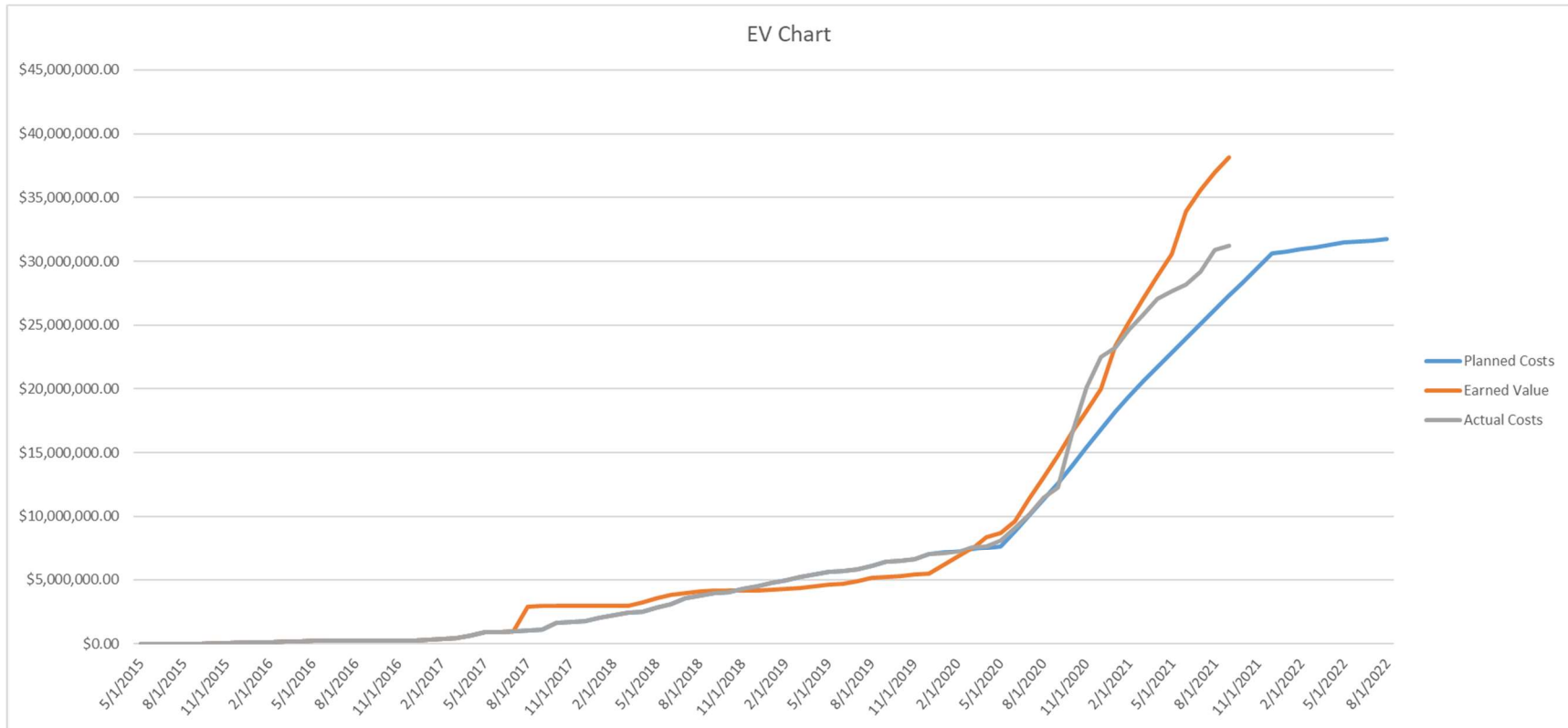
Table 11-1. Earned Value Report by Element

Element	Description	OAWP Budget	Cost incurred [1]	% Spent	% Progress	Earned Value
1	Grant Application	\$25,100	\$25,040	99.8%	100.0%	\$25,100
2	Program Management	\$3,500,000	\$2,903,366	83.0%	85.0%	\$2,975,000
3	Design & ROW Support	\$5,865,000	\$4,767,948	81.3%	90.0%	\$5,278,500
4	Environmental Review & Permitting	\$1,605,000	\$1,332,714	83.0%	93.0%	\$1,492,650
6	Construction, Mitigation, & Other Project Acti	\$31,498,330	\$21,482,869	68.2%	90.0%	\$28,348,497
7	Closeout Process (Post Add to SPFC)	\$111,000	\$0	0.0%	0.0%	\$0
8	500-Year Project	\$2,855,000	\$665,745	23.3%	20.0%	\$571,000
5	ROW Acquisition (Post Add to SPFC) [2]	N/A	N/A	N/A	N/A	N/A
		<b>\$45,459,430</b>	<b>\$31,177,682</b>	<b>68.6%</b>	<b>85.1%</b>	<b>\$38,690,747</b>

[1] Total Cost As of September 2021.

[2] Element 5 ROW Tracked Separately.

Chart 11-1. Earned Value



[1] Prior to January 2020 Planned and Actual Costs are aligned.

**Table 11-2. 200-Year Deliverables**

Required Deliverable	Planned Date of Submittal	Date Submitted to DWR	Date DWR Accepted
<b>Final Real Estate Accounting Packages</b>	Rolling. Q8-Q17. 2019-2021	Rolling	Not Accepted.
<b>OMRR&amp;R Agreement</b>	Q17. 2021	Not Submitted	Not Accepted.
<b>Interim OMRR&amp;R Manual</b>	Q17. 2021	Not Submitted	Not Accepted.
<b>OMRR&amp;R Draft Manual</b>	Q17. 2021	Not Submitted	Not Accepted.
<b>Flood Risk Resolution</b>	Q17. 2021	Not Submitted	Not Accepted.
<b>Property Transfer to SSJDD</b>	Rolling. Q14-Q17. 2021	Not Submitted	Not Accepted.
<b>Safety and Emergency Response Plan (“Flood Safety Plan”)</b>	Q17. 2021	Not Submitted	Not Accepted.
<b>As-Built Drawings</b>	Q17. 2021	Not Submitted	Not Accepted.
<b>Addition to the SPFC</b>	Q18. 2022	NA	Not Accepted.
<b>OMRR&amp;R Final Manual</b>	Q18. 2021	Not Submitted	Not Accepted.
<b>Project Completion Report</b>	Q18. 2021	Not Submitted	Not Accepted.
Construction Completion Report		Q16 (10/2021)	Not Accepted.
RWQCB 401 Permit		Q11. 2020.	NA
Encroachment Permit		Q11. 2020.	NA
Construction Bid Documents		Q10. 2020	NA
Final Design Drawings and Specifications		Q10. 2020	Comments Received
DFW 1602 SAA		Q10. 2020	NA
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		Started in Q7.	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
USFWS Section 7		Not Required.	
SHPO Section 106		Not Required.	
USACE NEPA Document		Not Required.	
404 Permit		Not Required.	
408 Permission		Not Required.	
Section 221 Credit MOU		NA	
2081 Permit		Not Required.	