

**Three Rivers Levee Improvement Authority**

**200-year Goldfields Levee Project**

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

**Quarter 21 Report  
October - December 2022**

**Submitted by:  
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Executive Director**



**December 2, 2022**

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## Table of Contents

1.	Background.....	1
2.	Summary.....	1
3.	Project Scope of Work .....	2
3.1.	Elements Completed .....	2
3.2.	Element 7: Close-Out.....	2
4.	Project Schedule .....	3
5.	Project Budget .....	5
6.	Deviations in Scope, Schedule, and Budget .....	5
7.	Special Topics .....	5
7.1.	Federal Authorization of the Project and Additional to the SPFC .....	5
8.	Legal Issues .....	6
9.	Actual and Projected Costs .....	6
10.	Payment Requested and State Disbursements .....	8
11.	Tracking Tables and Deliverables Table.....	12
11.1.	Earned Value Report by Element .....	12
11.2.	Earned Value .....	12
11.3.	200-Year Deliverables .....	12

## Tables, Figures, and Charts

Table 2-1	Quarterly Payment Summary .....	2
Table 9-1.	TRLIA - 200-Year Goldfields Levee Project Prior Quarter Actual Cost Comparison and True-Up.....	7
Table 10-2.	TRLIA - 200-Year Goldfields Levee Project: True-Up Funding .....	9
Table 10-1.	TRLIA - 200-Year Goldfields Levee Project: 12th Quarter Projected Cost .....	9
Table 10-3.	TRLIA - 200-Year Goldfields Levee Project: Payment Requests and State Disbursements .....	10
Table 11-1.	Earned Value Report by Element.....	13
Table 11-2.	200-Year Deliverables.....	15

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## **1. Background**

As part of its 200-Year Goldfields Levee Project (Project), the Three Rivers Levee Improvement Authority (TRLIA) constructed 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 through the Urban Flood Risk Reduction Program via Funding Agreement #4600012115, effective on October 4, 2017. 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 21 and Site J Saddle, but without a change to the budget. A third amendment in August 2021 incorporated the 500-year effort, again, without a change to the budget.

## **2. Summary**

This report represents Quarter 21, October - December 2022.

Activity during the current quarter is focused on land transfers, O&M manual updates, FEMA certification, and adding the GF200 project to the SPFC and SRFCP. In 2023, all work will be tracked under the close-out task Element 7. TRLIA is currently preparing a partial close-out report for Elements 1-6, and 8 with anticipated submittal before the end of the quarter. TRLIA anticipates submitting additional invoices for reimbursement in 2023 on a monthly basis.

Additionally, TRLIA has proposed a new element under the funding agreement for the Climate Resiliency Project and the Goldfields Multibenefit Project Feasibility Study. This new element was approved by DWR in November 2022, refer to section 5 Project Budget for an updated workplan.

TRLIA is not requesting an advance or true-up payment this quarter. Table 2-1 summarizes the total payment requested with this report.

**Table 2-1 Quarterly Payment Summary**

Description	Amount
Advance Request for Elements 1-4, 6-8 [1]	\$0
True-Up Request for Elements 1-4, 6-8 [2]	\$0
<b>Total Quarterly Payment Request</b>	<b>\$0</b>

[1] Represents Quarter 23. Excludes ROW Capital Costs (Element 5)

[2] Represents QPR 21 True-Up for Jul-Sept 2022

### 3. Project Scope of Work

This report covers the following quarters:

- Previous Quarter      July – September (Quarter 20)
- Current Quarter      October – December (Quarter 21)
- Next Quarter          January – March (Quarter 22)

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. Elements Completed

- } Element 1: Grant Application
- } Element 3: Design
- } Element 4: Environmental Review
- } Element 5: Right-of-Way Acquisition
- } Element 6: Construction
- } Element 6: Mitigation
- } Element 8: 500-Year Project

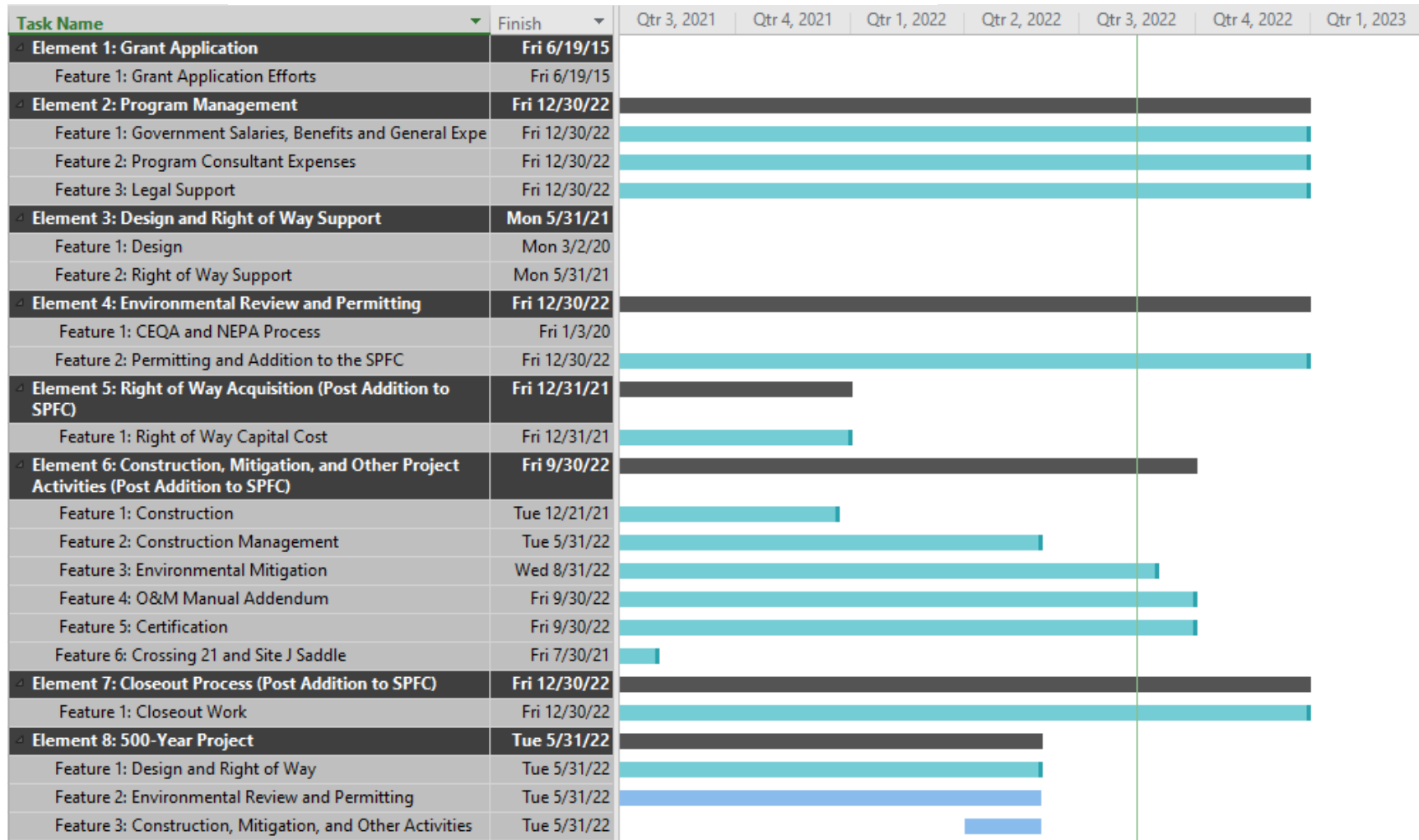
#### 3.2. Element 7: Close-Out

As reported in the previous report, TRLIA will submit a close-out report to DWR by the end of this quarter. To fulfill this obligation, as of October 1, 2022, all work and costs are being tracked under Element 7: Close-Out. That is, the outstanding activities associated with Elements 1-6 and 8 that may be required are now being tracked under Element 7. A description of this work is below. Other work performed under Element 7 includes development of the close-out package.

- Former Element 2: Program Management - Activities in the next quarter will be focused on responding to DWR information requests associated with the close-out package, and any other close-out tasks not completed before the end of the current quarter.
- Former Element 3: Right-of-Way Support - ROW activities for the GF200 were limited to responding to DWR information requests and completing transfers to RD784.
- Former Element 4: Permitting - Permitting activities for GF200 are limited and focused amending the 1953 MOU.
- Former Element 6: Other Project Activities – Activities are limited primarily to responding to information requests from FEMA, DWR, and USACE as it relates to the FEMA certification package, O&M Manual, and CCR.

## 4. Project Schedule

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





## 5. Project Budget

The current *Overall Work Plan Budget* reflective of Amendment No. 5 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 (Post Addition to SPFC)	\$27,839,829	\$21,942,949
7	Closeout Process (Post Add to SPFC)	\$110,000	\$86,700
8	500-Year Project	\$2,855,000	\$2,250,270
9	Climate Resiliency Project and Goldfields Multibenefit Project Feasibility Study	\$3,578,501	\$2,883,847
<b>Total</b>		<b>\$53,878,430</b>	<b>\$42,529,521</b>

[1] State cost share is 85%. The State share shown in this Table is reflective of Amendment No. 5 to the Funding Agreement.

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

Per letter dated February 2, 2022, TRLIA has reduced the anticipated project cost from \$53.9M to \$44M.

## 7. Special Topics

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

A draft amendment to the 1953 MOU has been prepared and reviewed by the USACE Sacramento District (SPK) and CVFPB. The amendment will require review and approval by the USACE South Pacific Division (SPD), and their signature. Following SPD review, the MOU will be taken to the CVFPB board for signature, then proceed to SPD for final signature. At this time, there is no action for TRLIA, DWR, or CVFPB.

On October 31, 2022, USACE reported that it was now awaiting one of two memos before it can send the MOU to SPD (previously it was both).

## 8. Legal Issues

OMRR&R Agreement – TRLIA and RD 784 have been trying to work with CVFPB staff on the OMRR&R agreement. It has been difficult to get adequate attention on the review and resolution of issues. TRLIA and RD 784 continue to reach out to CVFPB staff in an effort to facilitate resolution and execution of the agreement.

## 9. Actual and Projected Costs

**Table 9-1** provides a summary of the actual Costs for the Quarter (refer to SOC's included with this report dated December 2, 2022). **Table 9-1** also shows the State Share True-Up amount and Local Credit True-Up amounts for the actual costs incurred during the prior quarter.

For a reconciliation of the approved credit and approved and projected credit payments, refer to QPR13. As of QPR13 the authorized initial and supplemental credit of \$1,137,718 in state dollars has been complete.

**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 this Request C	Actual State Cost Share E = C x A	Retention on		True Up Payment By State G = E - F	Local Creditable Cost Share H = C x (1 - A)
					Actual State Cost Share (10%) F = E x 10%			
1	Grant Application	85%	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	85%	\$ 83,108	\$ 70,642	\$ 7,064	\$ 63,578	\$ 12,466	
3	Design & ROW Support	85%	\$ 17,443	\$ 14,826	\$ 1,483	\$ 13,344	\$ 2,616	
4	Environmental Review & Permitting	85%	\$ 8,636	\$ 7,341	\$ 734	\$ 6,607	\$ 1,295	
5	ROW Acquisition	85%	N/A	N/A	N/A	N/A	N/A	
6	Construction, Mitigation, & Other Project Aspects I	85%	\$ 185,479	\$ 157,657	\$ 15,766	\$ 141,892	\$ 27,822	
6.3	Environmental Mitigation	85%	N/A	N/A	N/A	N/A	N/A	
7	Closeout Process	85%	\$ 23,500	\$ 19,975	\$ 1,998	\$ 17,978	\$ 3,525	
8	500-Year Project	85%	\$ 260	\$ 221	\$ 22	\$ 199	\$ 39	
			\$ 318,426	\$ 270,662	\$ 27,066	\$ 243,596	\$ 47,764	

## 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** provides a breakdown of the advance requested.

**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.

In addition, in letter dated February 21, 2022, TRLIA requested the outstanding local share of \$854,774 for real estate, which includes relocation costs previously requested.

**Table 10-1. TRLIA - 200-Year Goldfields Levee Project: Advance Request**

None This Quarter

**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	DWR Payments	Overfunded
		This Request [1]	QTR 1-20 [2]	Costs	True Up Costs	State Share of	True Up Costs	True Up Costs to	Received to Date
		A	B	C = A + B	D = 0.85 * C	(10%) [3]	be Immediately	G	H = G - F
						E = D x 10%	Funded		
							F = D - E		
1	Grant Application	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
2	Program Management	\$ 83,108	\$ 3,477,767	\$ 3,560,875	\$ 3,026,743	\$ 302,674	\$ 2,724,069	\$ 1,538,852	\$ 1,185,217
3	Design & ROW Support	\$ 17,443	\$ 4,125,701	\$ 4,143,144	\$ 3,521,672	\$ 352,167	\$ 3,169,505	\$ 3,993,932	\$ (824,427)
4	Environmental Review & Permitting	\$ 8,636	\$ 978,690	\$ 987,326	\$ 839,227	\$ 83,923	\$ 755,304	\$ 956,328	\$ (201,024)
5	ROW Acquisition	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
6	Construction, Mitigation, & Other Project Aspects I	\$ 185,479	\$ 24,339,680	\$ 24,525,159	\$ 20,846,385	\$ 2,084,639	\$ 18,761,747	\$ 20,702,407	\$ (1,940,660)
6.3	Environmental Mitigation	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7	Closeout Process	\$ 23,500	\$ -	\$ 23,500	\$ 19,975	\$ 1,998	\$ 17,978	\$ -	\$ 17,978
8	500-Year Project	\$ 260	\$ 1,602,856	\$ 1,603,116	\$ 1,362,649	\$ 136,265	\$ 1,226,384	\$ -	\$ 1,226,384
		\$ 318,426	\$ 34,524,694	\$ 34,843,120	\$ 29,616,652	\$ 2,961,665	\$ 26,654,987	\$ 27,191,519	\$ (536,532)

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

[2] Reference Previously Approved DWR Statement of Costs for QTR1-20

**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
QPR14-20	6/9/2021 - 8/19/2022	None Due	\$0	\$0	\$0
Ag Mitigation [1]	2/2/2022	2/17/2022	\$0	*853,449	*853,449
QPR21[2]	This Report	In Progress	\$0	\$0	\$0
<b>Cumulative Payments</b>			<b>\$1,137,718</b>	<b>\$27,191,518</b>	<b>\$28,329,235</b>
<b>State Payments Received Less ROW &amp; Ag Mitigation &amp; Credit</b>					<b>\$27,191,518</b>
<b>TRLIA Spent to Date Less ROW &amp; Ag Mitigation &amp; Retention</b>					<b>\$26,654,987</b>
<b>State Funding Held</b>					<b>(\$536,532)</b>
<b>Real Estate Payments Received</b>					<b>\$6,534,830</b>
<b>Ag Mitigation Advance</b>					<b>\$853,449</b>
<b>Total Payments Received</b>					<b>\$35,717,515</b>
<b>Total Grant Amount</b>					<b>\$42,529,521</b>
<b>[1] Grant Amount Remaining</b>					<b>\$6,812,007</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	Ag Mitig [1]	Advance Payments Received	Init & Supp Credit [2]	Total Received
1 Grant Application	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$21,284	\$21,284
2 Program Management	\$185,425	\$59,006	\$158,002	\$132,847	\$17,802	\$204,613	\$278,209	\$112,948	\$390,000	\$0	\$1,538,852	\$235,039	\$1,773,891
3 Design & ROW Support	\$704,079	\$384,609	\$478,453	-\$50,046	\$211,693	\$815,819	\$1,203,799	\$223,927	\$21,600	\$0	\$3,993,932	\$572,415	\$4,566,347
4 Environmental Review & Permitting	\$161,935	\$45,587	\$37,969	\$133,914	\$7,850	\$59,107	\$177,351	\$152,615	\$180,000	\$0	\$956,328	\$308,980	\$1,265,308
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	N/A	N/A
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	*853449	\$20,702,407	\$0	\$20,702,407
7 Closeout Process (Post Add to SPFC)	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
8 500-Year Project	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
<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>\$0</b>	<b>\$27,191,519</b>	<b>\$1,137,718</b>	<b>\$28,329,235</b>

[1] Tracked Separate

[1] Subject to DWR Review

[3] 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 the planned or actual date of submittal.



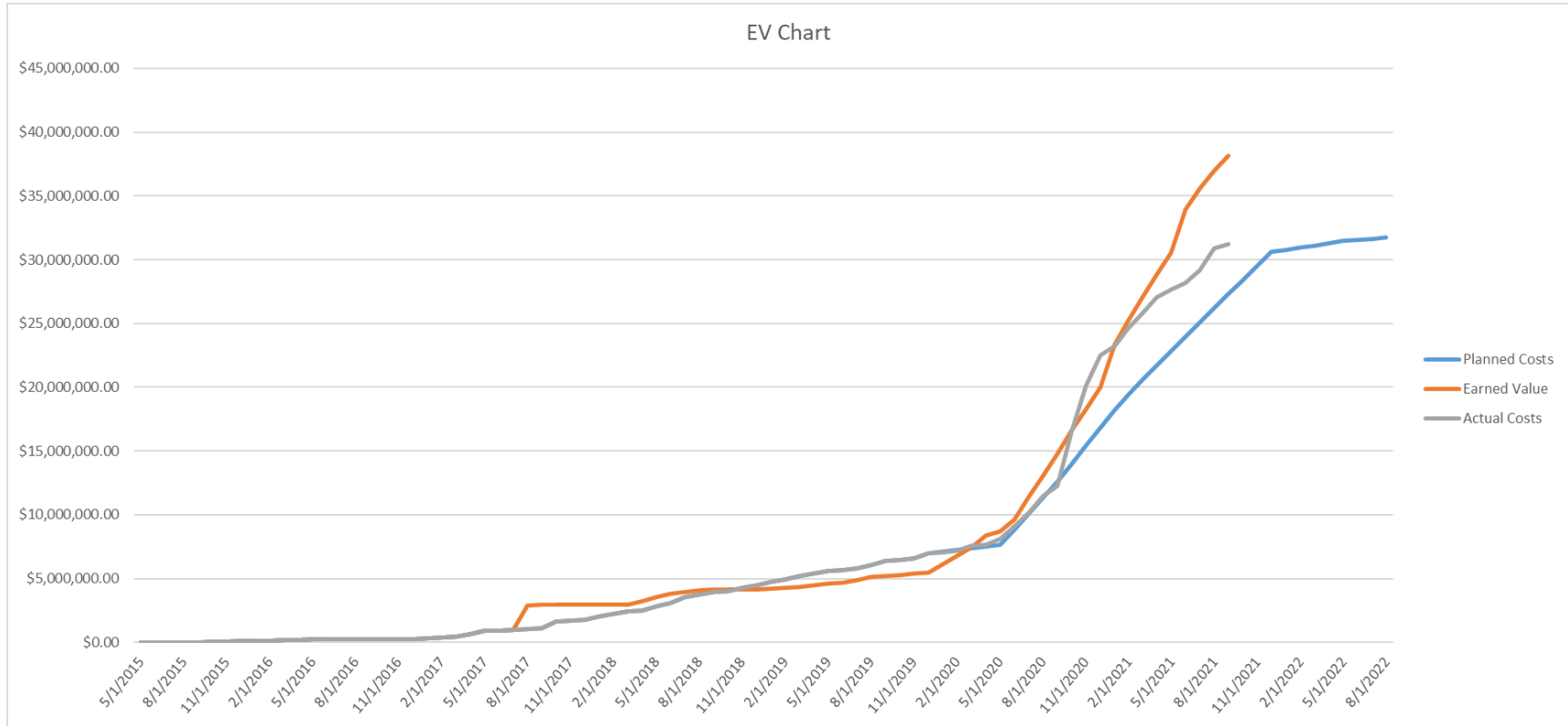
Table 11-1. Earned Value Report by Element

Element	Description	OAWP Budget	Cost incurred [1]	% Spent	% Progress	Earned Value
1	Grant Application	\$25,100	\$0	0.0%	100.0%	\$25,100
2	Program Management	\$3,500,000	\$3,560,875	101.7%	90.0%	\$3,150,000
3	Design & ROW Support	\$5,865,000	\$4,143,144	70.6%	99.0%	\$5,806,350
4	Environmental Review & Permitting	\$1,605,000	\$987,326	61.5%	98.0%	\$1,572,900
6	Construction, Mitigation, & Other Project Acti	\$27,839,829	\$25,114,126	90.2%	99.0%	\$27,561,431
7	Closeout Process (Post Add to SPFC)	\$110,000	\$23,500	21.4%	25.0%	\$27,500
8	500-Year Project	\$2,855,000	\$1,603,116	56.2%	99.0%	\$2,826,450
5	ROW Acquisition (Post Add to SPFC) [2]	N/A	N/A	N/A	N/A	N/A
		<b>\$41,799,929</b>	<b>\$35,432,087</b>	<b>84.8%</b>	<b>98.0%</b>	<b>\$40,969,731</b>

[1] Total Cost As of September 2022 excludes Initial & Supplemental Credit

[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
<b>Safety and Emergency Response Plan (Flood Safety Plan)</b>	Q21 2022	
<b>OMRR&amp;R Final Manual</b>	Q21. 2022	
<b>Project Completion Report</b>	Q21. 2022	
<b>Addition to the SPFC</b>	Q23. 2022	
OMRR&R Draft Manual		Q20 to USACE
OMRR&R Agreement		Q19. 2022
Interim OMRR&R Manual		Not Submitted.
Property Transfer to SSJDD		Q17.
Final Real Estate Accounting Packages		Q17
As-Built Drawings		Q16 (10/2021)
Construction Completion Report		Q16 (10/2021)
RWQCB 401 Permit		Q11. 2020.
Encroachment Permit		Q11. 2020.
Construction Bid Documents		Q10. 2020
Final Design Drawings and Specifications		Q10. 2020
DFW 1602 SAA		Q10. 2020
90% Design Package		Q8. 2019
RE Environmental Site Assessments		Q8. 2019
Project Real Estate Plan		Q7. 2019
Real Estate Appraisals		Started in Q7.
65% Design Package		Q6. 2018
AB 52 Consultation		Q6. 2018
CEQA Supplement		Q6. 2018
Clear Path to SPFC Requirement		Q5. 2018
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.