



October 27, 2014

Paul Morrison, P.E.  
 Division of Flood Management  
 Department of Water Resources  
 3464 El Camino Avenue, Suite 200  
 Sacramento, California 95821

**SMITH CANAL GATE PROJECT – FUNDING AGREEMENT NO. 4600009799  
 PROGRESS REPORT FROM 6/1/2014 TO 8/31/2014 AND INVOICE NO. SCGATE-04**

Enclosed for your review is an invoice and progress report for the above-noted period.

Expenses for June 1, 2014 through August 31, 2014 totaled \$175,023.64. Because these expenses are cost-shared on a 50/50 basis, each party's cost-share is \$87,511.82. After deducting the required 10% retention (\$8,751.18), the State's cost-share for this quarter totals \$78,760.64.

**PLEASE NOTE:** State Progress Payment Three in the amount of \$177,397.83, was received on October 21, 2014, which includes the following payments:

	Start Date	End Date	Approved Amount	Payment Calculations
Progress Payment Three	March 1, 2014	March 31, 2014	\$77,659.86	
	April 1, 2014	April 30, 2014	\$37,961.00	
	May 1, 2014	May 31, 2014	\$135,615.40	
	June 1, 2014	June 30, 2014	*\$82,867.52	
	July 1, 2014	July 31, 2014	*\$60,113.61	
Total Approved Invoices				\$394,217.39
			State Share	\$197,108.70
			Retention (10%)	-\$19,710.87
			<b>Received Payment</b>	<b>\$177,397.83</b>

\*Expenses belonging to current progress report (6/1/2014 - 8/31/2014).

As the above Progress Payment Three includes payments for June and July 2014, SJAFCA is requesting only payment for August expenses (\$14,419.13) to be disbursed at this time.

	Start Date	End Date	Amount	Payment Calculation
	August 1, 2014	August 31, 2014	\$32,042.51	
August Invoice				\$32,042.51
			State Share	\$16,021.26
			Retention (10%)	-\$1,602.13
			<b>Requested Payment</b>	<b>\$14,419.13</b>

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*Please see the enclosed "Disbursement Request Summary" which summarizes SJAFCA invoices and the State's payments.*

I certify that we have verified that the costs and work performed are consistent with the costs and scope of work approved by the State.

In addition to the above-noted progress report and invoice, enclosed please find a work plan for the period covering September 1, 2014 through November 30, 2014.

If you have any questions or need more information, please contact Juan Neira at (209) 937-8113 or by e-mail at [juan.neira@stocktongov.com](mailto:juan.neira@stocktongov.com)



ROGER CHURCHWELL  
DEPUTY EXECUTIVE DIRECTOR

RC:JJN:md

Enclosures

emc: Kelly Fucciolo, Department of Water Resources  
Juan Neira, Senior Civil Engineer, Project Manager

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# INVOICE

**Bill to:**

State of California  
Department of Water Resources  
Division of Flood Management  
Attention: Paul Morrison  
3464 El Camino Ave., Suite 200  
Sacramento, CA 95821-9000

**Invoice No.:** SCGATE-04  
**Invoice Date:** October 22, 2014

<u>Description</u>	<u>Amount</u>	<u>Subtotal</u>
Agreement No. 4600009799, Smith Canal Closure Structure Design The Expenditure Summary Report covering the work period From 6/1/2014 thru 8/31/2014 accompanies this invoice.		
Total Expenses	\$ 175,023.64	
June and July payment included in 'Progress Payment Three'	-\$ 142,981.13	
Remaining Expenses	\$ 32,042.51	
Cost Share (50%)	\$ 16,021.26	
Retention Amount (10%)	-\$ 1,602.13	
Total Disbursement Request		\$ 14,419.13

Please send payment to:

San Joaquin Area Flood Control Agency  
22 E. Weber Ave., Room 301  
Stockton, CA 95202-2317  
Attn: Roger Churchwell

**Total Balance Due: \$ 14,419.13**

## Monthly Statement of Costs

Smith Canal Gate Project									
June 1, 2014 through August 31, 2014									
Task	Description	Budget	PROPOSED Quarterly costs	ACTUAL Monthly Costs (6/1 - 8/31)			TOTAL ACTUAL Quarterly Costs		
				JUNE	JULY	AUGUST			
1	Program Management	\$ 709,000	\$60,742.00	\$37,415.28	\$19,923.07	\$21,215.01	\$78,553.36		
2	Engineering Design	\$ 2,250,000	\$31,761.00				\$0.00		
3	Independent Review	\$ 300,000				\$3,102.50	\$3,102.50		
4	Environmental Review and Permitting	\$ 1,375,000	\$238,998.00	\$40,536.08	\$38,896.32	\$7,725.00	\$87,157.40		
5	Real Estate Planning & Acquisition	\$ 141,000					\$0.00		
6	Public Outreach	\$ 50,000	\$8,250.00	\$4,916.16	\$1,294.22		\$6,210.38		
<b>TOTALS</b>		<b>\$ 4,825,000</b>	<b>\$339,751.00</b>	<b>\$82,867.52</b>	<b>\$60,113.61</b>	<b>\$32,042.51</b>	<b>\$175,023.64</b>		

### Task 1 - Breakdown

Task Description	Work Performed By	Budget	PROPOSED Quarterly costs (6/1 - 8/31)	ACTUAL JUNE	ACTUAL JULY	ACTUAL AUGUST	TOTAL ACTUAL Quarterly Costs (6/1 - 8/31)
1 Program Management	SJAFCFA - Program Mgt		\$30,000.00	\$3,386.43	\$5,567.10	\$5,162.66	\$14,116.19
	SJAFCFA - Legal Counsel	\$ 709,000	\$5,000.00	\$0.00	\$0.00	\$1,156.00	\$1,156.00
	PBI - Design Team		\$25,742.00	\$34,028.85	\$14,355.97	\$14,896.35	\$63,281.17
<b>Task 1 TOTAL</b>		<b>\$ 709,000</b>	<b>\$60,742.00</b>	<b>\$37,415.28</b>	<b>\$19,923.07</b>	<b>\$21,215.01</b>	<b>\$78,553.36</b>

**PROGRESS  
REPORT  
6/1/14 – 8/31/14**

# QUARTERLY PROGRESS REPORT for the DESIGN of the SMITH CANAL CLOSURE STRUCTURE

**Project Sponsor:** San Joaquin Area Flood Control Agency (SJAFCA)

**Contract Agreement No.:** 4600009799

**Progress Period:** 6/1/14 thru 8/31/14

## SUMMARY OF ACTIVITIES

Work on the Project's environmental process for the CEQA document continued, including issuing Notice of Preparation for the CEQA document, conducting the CEQA Scoping Meeting and initiating the Administrative Draft EIR development. Work also continued to assemble the Independent Panel of Experts to review the Project's design documents. In addition, an independent peer reviewer of the project's water quality modeling was hired.

## PROJECT INFORMATION

### Major accomplishments during the progress period

Table 1 presents a summary of design phase tasks and the associated accomplishments completed during the progress period.

**Table 1. Project Accomplishments during the Progress Period**

Design Phase Task		Status	Major Accomplishments during the Progress Period
Task 1: Program Management	SJAFCA	Ongoing	<ul style="list-style-type: none"> <li>• Coordinated consultant and public outreach activities</li> <li>• Worked on general project activities and requests from other agencies to support the Design &amp; Environmental effort</li> <li>• Coordinated permitting activities for in-water geotechnical investigation</li> </ul>
	Legal	Ongoing	<ul style="list-style-type: none"> <li>• Supported environmental and general project issues</li> </ul>
	Design Team	Ongoing	<ul style="list-style-type: none"> <li>• Conducted monthly project development team meetings on 6/11/14, 7/9/14, and 8/12/14</li> <li>• Conducted bi-weekly team conference calls</li> <li>• Sub-consultant team coordination</li> <li>• Completed scoping and permitting for in-water geotechnical investigation</li> <li>• Initiated scoping for final design</li> </ul>
Task 2: Engineering Design		On Hold	<ul style="list-style-type: none"> <li>•</li> </ul>
Task 3: Independent Review		Ongoing	<ul style="list-style-type: none"> <li>• Received approval for proposed IPE team members from DWR</li> <li>• Hired independent water quality model reviewer</li> </ul>

Design Phase Task	Status	Major Accomplishments during the Progress Period
Task 4: Environmental Review and Permitting	Ongoing	<ul style="list-style-type: none"> <li>• Distributed Notice of Preparation for CEQA document</li> <li>• Conducted Scoping Meeting 7/16/14 for CEQA document</li> <li>• Further develop the hydrodynamic model to provide detailed evaluation of the project's water quality impacts and potential water quality benefits for Chapter 3 (Affected Environment) of the CEQA document</li> <li>• Continued evaluation of the project's operational impacts on the interior drainage to Smith Canal for Chapter 3 (Affected Environment) of the CEQA document</li> <li>• Continued work on Chapter 1 (Introduction) for the Administrative Draft EIR</li> <li>• Continued work on Chapter 2 (Alternatives) for the Administrative Draft EIR</li> <li>• Made initial permitting contacts with USACE, NMFS, DFW and Delta Stewardship Council</li> </ul>
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	<ul style="list-style-type: none"> <li>• Conducted Scoping Meeting 7/16/14 for CEQA document</li> </ul>

**Legal matters**

No legal matters arose during this progress period.

**Engineering and design matters**

No engineering and/or design matters arose during this progress period.

**Environmental matters**

No environmental matters arose during this progress period.

**Issues or concerns that affect the schedule or budget**

Budget

No budget issues arose during this progress period.

Schedule

Scheduling issues did arise during this progress period. The need for additional peer review of the water quality modeling as well as additional required modeling of project alternatives and improvements has delayed the start of the final design approximately 6 months. The water quality modeling needs to be finalized to assist with the selection of the preferred project alternative. This delay also has the potential to postpone the geotechnical investigation for the in-water structures due to endangered species issues. The revised schedule is presented in Figure 1.

**Differences between work performed and work outlined in Overall Project Work Plan**

No deviations from the Overall Project Work Plan occurred during this progress period.



## COST INFORMATION

### Costs incurred to date

There are no changes to the total costs presented in the original design budget.

Table 2 (attached) presents an itemized cost breakdown by task for this progress period as well as an overall summary for the costs to date.

At this time we have spent approximately 25% of our design budget, which is consistent with the amount of work completed thus far.

### Changes to the budget

There have been no changes to the overall project budget to date.

## SCHEDULE INFORMATION

Figure 1 presents a comparison of the Updated Schedule based on the delayed start of the final design discussed above. The completion of the last task (permitting) has moved from September 2016 to February 2017.

## ANTICIPATED ACTIVITIES NEXT QUARTER

Table 3 presents the anticipated activities for June 2014 through August 2014.

**Table 3. Anticipated Activities**

Design Phase Task		Status	Major Accomplishments during the next quarter
Task 1: Program Management	SJAFCA	Ongoing	<ul style="list-style-type: none"> <li>Oversee and coordinate consultant work, and public outreach activities.</li> <li>Work on general project activities and requests from other agencies</li> <li>Coordinate permitting activities for in-water geotechnical investigation</li> </ul>
	Legal	Ongoing	<ul style="list-style-type: none"> <li>Support environmental and general project issues</li> </ul>
	Design Team	Ongoing	<ul style="list-style-type: none"> <li>Conduct monthly project development team meetings on 9/16/14, 10/21/14, and 11/12/14</li> <li>Conduct bi-weekly team conference calls</li> <li>Sub-consultant team coordination</li> </ul>
Task 2: Engineering Design		Ongoing	<ul style="list-style-type: none"> <li>Finalize scoping for final design</li> </ul>
Task 3: Independent Review		Ongoing	<ul style="list-style-type: none"> <li>Develop scope of work and hire IPE team members</li> </ul>

Design Phase Task	Status	Major Accomplishments during the next quarter
Task 4: Environmental Review and Permitting	Ongoing	<ul style="list-style-type: none"> <li>• Finalize the hydrodynamic model to provide detailed evaluation of the project's water quality impacts and potential water quality benefits for Chapter 3 (Affected Environment) of the CEQA document</li> <li>• Complete evaluation of the project's operational impacts on the interior drainage to Smith Canal for Chapter 3 (Affected Environment) of the CEQA document</li> <li>• Finalize Chapter 1 (Introduction) for the Administrative Draft EIR</li> <li>• Finalize Chapter 2 (Alternatives) for the Administrative Draft EIR</li> <li>• Initiate Chapter 3 (Affected Environment) for the Administrative Draft EIR</li> </ul>
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	<ul style="list-style-type: none"> <li>• Send out newsletter to Assessment District homeowners</li> </ul>



TABLE 2 - SUMMARY OF COSTS

Smith Canal Closure Structure  
Overall Project Budget  
Budget Status through August 2014  
Progress Period = June 1, 2014 through August 31, 2014

Funding Agreement Tasks							
Task	Description	Budget	Costs for Current Progress Period	Costs for Previous Progress Periods	Total Cost through Progress Period	Budget Remaining	Percent Complete
1	Program Management	\$ 709,000	\$ 78,553	\$ 226,983	\$ 305,537	\$ 403,463	36%
2	Engineering Design	\$ 2,250,000	\$ -	\$ 393,658	\$ 393,658	\$ 1,856,342	30%
3	Independent Review	\$ 300,000	\$ 3,103	\$ -	\$ 3,103	\$ 296,898	2%
4	Environmental Review and Permitting	\$ 1,375,000	\$ 87,157	\$ 218,975	\$ 306,133	\$ 1,068,867	20%
5	Real Estate Planning & Acquisition	\$ 141,000	\$ -	\$ -	\$ -	\$ 141,000	0%
6	Public Outreach	\$ 50,000	\$ 6,210	\$ 36,361	\$ 42,572	\$ 7,428	60%
<b>TOTALS</b>		\$ 4,825,000	\$ 175,023	\$ 875,978	\$ 1,051,002	\$ 3,773,998	22%

Breakdown of Funding Agreement Task 1								
Task	Description	Work Performed By	Budget	Costs for Current Progress Period	Costs for Previous Progress Periods	Total Cost through Progress Period	Budget Remaining	Percent Complete
1	Program Management (Design Phase)	SJAFCA	\$ 709,000	\$ 14,116	\$ 135,705	\$ 149,822	\$ 403,463	36%
		Legal		\$ 1,156	\$ 4,454	\$ 5,610		
		Design Team		\$ 63,281	\$ 86,824	\$ 150,105		
Program Management (Design Phase) TOTAL			\$ 709,000	\$ 78,553	\$ 226,983	\$ 305,537	\$ 403,463	36%

**DISBURSEMENT  
REQUEST  
SUMMARY**

**SMITH CANAL CLOSURE STRUCTURE DESIGN**

**DISBURSEMENT REQUEST SUMMARY**

As of October 22, 2014

SJA/CA Request Date	Invoice No.	Total Expenses	Cost-Share (50%)	Retention (10%)	Amount Requested	DWR Disbursement Date	State Warrant No.	Disbursed Amount	Balance
9/28/2012	SCGATE-01	\$499,352.87	\$249,676.44	\$24,967.64	\$224,708.79	9/17/2013	Wire transfer	\$224,708.79	\$0.00
4/11/2014	SCGATE-02	\$125,389.36	\$62,694.68	\$6,269.47	\$56,425.21	7/8/2014	Wire transfer	\$56,425.21	\$0.00
7/16/2014	SCGATE-03								
	March	\$77,659.86	\$38,829.93	\$3,882.99	\$34,946.94	10/21/2014	Wire transfer		
	April	\$37,961.00	\$18,980.50	\$1,898.05	\$17,082.45	10/21/2014	Wire transfer		
	May	\$135,615.40	\$67,807.70	\$6,780.77	\$61,026.93	10/21/2014	Wire transfer	\$177,397.83	
10/29/2014	SCGATE-04								
	June	\$82,867.52	\$41,433.76	\$4,143.38	\$37,290.38	10/21/2014	Wire transfer		
	July	\$60,113.61	\$30,056.81	\$3,005.68	\$27,051.12	10/21/2014	Wire transfer		
	August	\$32,042.51	\$16,021.26	\$1,602.13	\$14,419.13	10/21/2014			\$14,419.13
	<b>Totals To Date</b>	<b>\$1,051,002.13</b>	<b>\$525,501.07</b>	<b>\$52,550.11</b>	<b>\$472,950.96</b>			<b>\$458,531.83</b>	<b>\$14,419.13</b>

**WORK PLAN**  
**9/1/14 – 11/30/14**

# QUARTERLY WORK PLAN for the DESIGN of the SMITH CANAL CLOSURE STRUCTURE

**Project Sponsor:** San Joaquin Area Flood Control Agency (SJAFCA)

**Contract Agreement No.:** 4600009799

**Work Plan Period:** 9/1/2014 thru 11/30/14

## PROJECT INFORMATION

### Engineering and design matters

Prepare scope of work for the survey, geotechnical investigation and design for initiation of design in following quarter.

### Environmental matters

Continue work on Administrative Draft EIR for completion in the in following quarter. Select a preferred alternative for the Draft EIR.

### Permit status

Continue permitting activities and address comments on CEQA Notice of Preparation from USACE, CDFW, NMFS, and USFWS.

### Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for September 2014 through November 2014.

**Table 1. Anticipated Activities**

Design Phase Task		Status	Major Accomplishments during the next quarter
Task 1: Program Management	SJAFCA	Ongoing	<ul style="list-style-type: none"> <li>• Oversee and coordinate consultant work, and public outreach activities.</li> <li>• Work on general project activities and requests from other agencies</li> <li>• Coordinate permitting activities for in-water geotechnical investigation</li> </ul>
	Legal	Ongoing	<ul style="list-style-type: none"> <li>• Support environmental and general project issues</li> </ul>
	Design Team	Ongoing	<ul style="list-style-type: none"> <li>• Conduct monthly project development team meetings on 9/16/14, 10/21/14, and 11/12/14</li> <li>• Conduct bi-weekly team conference calls</li> <li>• Sub-consultant team coordination</li> </ul>
Task 2: Engineering Design		Ongoing	<ul style="list-style-type: none"> <li>• Finalize scoping for final design</li> </ul>
Task 3: Independent Review		Ongoing	<ul style="list-style-type: none"> <li>• Develop scope of work and hire IPE team members</li> </ul>



Design Phase Task	Status	Major Accomplishments during the next quarter
Task 4: Environmental Review and Permitting	Ongoing	<ul style="list-style-type: none"> <li>• Finalize the hydrodynamic model to provide detailed evaluation of the project's water quality impacts and potential water quality benefits for Chapter 3 (Affected Environment) of the CEQA document</li> <li>• Complete evaluation of the project's operational impacts on the interior drainage to Smith Canal for Chapter 3 (Affected Environment) of the CEQA document</li> <li>• Finalize Chapter 1 (Introduction) for the Administrative Draft EIR</li> <li>• Finalize Chapter 2 (Alternatives) for the Administrative Draft EIR</li> <li>• Initiate Chapter 3 (Affected Environment) for the Administrative Draft EIR</li> </ul>
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	<ul style="list-style-type: none"> <li>• Send out newsletter to Assessment District homeowners</li> </ul>

**Issues or concerns that affect the schedule or budget**

There are no issues or concerns that could affect the schedule/budget at this time.

**Differences between work performed and work outlined in Overall Project Work Plan**

No deviations from the Overall Project Work Plan are anticipated during this work plan period.

**Legal issues**

There are no legal issues related to the project at this time.

**COST INFORMATION**

**Projected Costs**

Table 2 (attached) presents an itemized cost breakdown by task for this progress period as well as an overall summary for the costs to date.

The projected costs show that we will have spent approximately 30% of our budget, which is consistent with the amount of work anticipated for completion thus far.

**Changes to the budget**

There have been no changes to the design budget to date.

**Advance funds sought**

No advance funds are sought by SJAFCA.

**SJAFCA funding expenditures**

SJAFCA will fund 50% of the projected costs shown in Table 2.

**SCHEDULE INFORMATION**

Figure 1 presents the Project Schedule through the end of the Work Plan period. No changes are anticipated to the schedule to date.



TABLE 2 - SUMMARY OF PROJECTED COSTS

Smith Canal Closure Structure  
Overall Project Budget  
Work Plan Budget through November 2014  
Work Plan Period = Sept 1, 2014 through November 30, 2014

Task	Description	Budget	ESTIMATED		Costs for Previous Periods	ESTIMATED Total Cost through Work Plan Period	ESTIMATED Budget Remaining at Completion of Work Plan Period	ESTIMATED Percent Complete at Completion of Work Plan Period
			Costs for Current Work Plan Period	Costs for Current Work Plan Period				
1	Program Management (Design Phase)	\$ 709,000	SJAFA	\$ 30,000	\$ 149,822	\$ 179,822	\$ 334,810	40%
			Legal	\$ 5,000	\$ 5,610	\$ 10,610		
			Design Team	\$ 33,653	\$ 150,105	\$ 183,758		
2	Engineering Design	\$ 2,250,000	\$ -	\$ 393,658	\$ 393,658	\$ 1,856,342	30%	
3	Independent Review	\$ 300,000	\$ 15,000	\$ 3,103	\$ 18,103	\$ 281,898	5%	
4	Environmental Review and Permitting	\$ 1,375,000	\$ 232,675	\$ 306,133	\$ 538,808	\$ 836,192	35%	
5	Real Estate Planning & Acquisition	\$ 141,000	\$ -	\$ -	\$ -	\$ 141,000	0%	
6	Public Outreach	\$ 50,000	\$ 4,125	\$ 42,572	\$ 46,697	\$ 3,303	80%	
<b>TOTALS</b>		\$ 4,825,000	\$ 320,453	\$ 1,051,002	\$ 1,371,455	\$ 3,453,545	28%	