



February 2, 2016

Eric Martinez, Project Manager  
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-AM1  
PROGRESS REPORT FROM 9/1/2015 TO 11/30/2015 AND INVOICE NO. SCGATE-09**

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

Expenses for September 1, 2015 through November 30, 2015 totaled \$275,888.85. Because these expenses are cost-shared on a 50/50 basis, each party's cost-share is \$137,944.42. After deducting the required 10% retention (\$13,794.44), the State's cost-share for this quarter totals \$124,149.98.

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 December 1, 2015 through February 29, 2016.

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

A handwritten signature in blue ink that reads "Roger Churchwell". The signature is fluid and cursive.

ROGER CHURCHWELL  
DEPUTY EXECUTIVE DIRECTOR

RC:JJN:dc

Enclosures

emc: Kelly Fucciolo, Department of Water Resources  
Robert Scarborough, Department of Water Resources  
Juan Neira, Project Manager

SC GATE Prog Rpt 9

# INVOICE

**Bill to:**

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

**Invoice No.:** SCGATE-09  
**Invoice Date:** February 2, 2016

<u>Description</u>	<u>Amount</u>	<u>Subtotal</u>
Agreement No. 4600009799-AM1, Smith Canal Closure Structure Design The Expenditure Summary Report covering the work period From 9/1/2015 thru 11/30/15 accompanies this invoice.		
Total Expenses	\$ 275,888.85	
Cost Share (50%)		\$137,944.42
Retention Amount (10%)		\$(13,794.44)
Total Request		\$ 124,149.98

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: \$124,149.98**

## Monthly/Quarterly Statement of Costs

Smith Canal Gate Project September 1, through November 30, 2015									
Task	Description	Budget	PROPOSED Quarterly costs	TOTAL ACTUAL Quarterly Costs			TOTAL ACTUAL Quarterly Costs		
				SEP	OCT	NOV			
1	Program Management	\$709,000.00	\$72,500.00	\$17,799.52	\$30,719.58	\$37,422.10	\$85,941.20		
2	Engineering Design	\$2,250,000.00					\$0.00		
3	Independent Review	\$300,000.00	\$10,000.00	\$1,563.75	\$2,107.50		\$3,671.25		
4	Environmental Review and Permitting	\$1,375,000.00	\$240,000.00	\$21,848.24	\$128,378.30	\$36,049.86	\$186,276.40		
5	Real Estate Planning & Acquisition	\$141,000.00					\$0.00		
6	Public Outreach	\$50,000.00					\$0.00		
TOTALS		\$4,825,000.00	\$322,500.00	\$41,211.51	\$161,205.38	\$73,471.96	\$275,888.85		

### Task 1 - Breakdown

Task	Description	Work Performed By	Budget	PROPOSED Quarterly costs	ACTUAL			TOTAL ACTUAL Quarterly Costs
					SEP	OCT	NOV	
1	Program Management	SJAFCA - Program Mgt	\$709,000.00	\$30,000.00	\$9,221.71	\$10,021.51	\$6,642.83	\$25,886.05
		SJAFCA - Legal Counsel			\$2,419.00	\$4,394.39	\$17,703.00	\$24,516.39
		PBI - Design Team			\$6,158.81	\$16,303.68	\$13,076.27	\$35,538.76
		Task 1 TOTAL	\$709,000.00	\$72,500.00	\$30,719.58	\$37,422.10	\$85,941.20	

**PROGRESS  
REPORT  
9/1/15 – 11/30/15**

# 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:** 9/1/15 thru 11/30/15

## SUMMARY OF ACTIVITIES

Work on the Project's environmental process for the CEQA document was completed, including adoption of the EIR by the SJAFCA Board of Directors. The scope for final design and permitting activities was completed and awarded by the SJAFCA Board of Directors. The scope of work for FEMA's additional information requested for the approved CLOMR was defined. The geotechnical investigation field work in Smith Canal was completed.

## 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>• Oversee and coordinate consultant work, and public outreach activities.</li> <li>• Work on general project activities and requests from other agencies</li> <li>• Responded to Public Draft EIR comments</li> <li>• Reviewed Final Draft EIR</li> <li>• Coordinated project with FEMA</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 9/8/15 and 10/15/15</li> <li>• Sub-consultant team coordination</li> <li>• Coordinated project with FEMA</li> </ul>
Task 2: Engineering Design		Ongoing	<ul style="list-style-type: none"> <li>• Finalized scope for final design</li> <li>• Performed geotechnical investigation field work</li> </ul>
Task 3: Independent Review		Ongoing	<ul style="list-style-type: none"> <li>• Reviewed scope for geotechnical investigation and associated laboratory analysis</li> <li>• Reviewed geotechnical investigation preliminary results</li> </ul>
Task 4: Environmental Review and Permitting		Ongoing	<ul style="list-style-type: none"> <li>• Completed the Final Draft EIR</li> <li>• Responded to Public Draft EIR comments</li> <li>• Prepared Final EIR</li> <li>• Finalized scope for permitting</li> </ul>

Design Phase Task	Status	Major Accomplishments during the Progress Period
Task 5: Real Estate Planning & Acquisition	Not Started	
Task 6: Public Outreach	Ongoing	<ul style="list-style-type: none"> <li>• None</li> </ul>

### Legal matters

No legal matters arose during this progress period.

### Engineering and design matters

Completed field work for geotechnical investigation and initiated laboratory analysis. Finalized scope for final design activities. Contract for final design and permitting activities awarded to the Design Team on November 19, 2015.

FEMA requested addition documentation regarding storage of interior drainage behind a closed Smith Canal gate.

### Environmental matters

Completed Final EIR for CEQA, which was adopted by the SJAFCA Board of Directors on November 19, 2015.

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

#### Budget

Based on the final scoping for the final design and permitting tasks, the current budget will be exceeded by approximately \$2.0M. Table 3 (attached) presents the costs to date and the anticipated cost to complete. The major reasons for this budget increase are presented below:

- Additional project management due to the extension of the EIR effort, additional design coordination with the USACE Safety Assurance Review, additional coordination with FEMA regarding interior drainage
- Additional design associated with the design of a miter gate versus the original manufactured Obermeyer gate (a miter gate provides better flow control and lower long term maintenance costs), additional hydrodynamic modeling of potential water quality improvements, additional design of Moreing Road culverts
- Additional permitting effort based on comments received from permitting agencies on the draft EIR plus the assumption that the NEPA EIS document development will be performed by the project team instead of USACE to maintain the project schedule

This budget increase is within the estimated budget for the project and can be covered by the contingency included in the cost estimate used to develop the financial plan for the overall project.

#### Schedule

Based on the final scoping of the final design and permitting tasks, the completion of design and permitting activities will be extended by approximately 5 months. However, the overall construction completion of the project is on schedule. Figure 1 presents the updated schedule. The major reasons for this schedule extension are presented below:

- Additional coordination with FEMA regarding interior drainage
- Delays in USACE acceptance of the common IPE/SAR panel
- Additional design associated with the design of a miter gate versus the original manufactured gate (Obermeyer)
- Additional permitting effort based on comments received from permitting agencies on the draft EIR plus the assumption that the NEPA EIS document development will be performed by the project team instead of USACE

### **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**

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 34% of our updated design and permitting budget, which is consistent with the amount of work completed thus far.

#### **Changes to the budget**

As discussed above, Table 3 (attached) updates the anticipated cost to complete the project.

### **SCHEDULE INFORMATION**

Figure 1 presents the current update project schedule.



Table 2

Smith Canal Closure Structure  
Overall Project Budget  
Budget Status through November 2015  
Progress Period = September 1, 2015 through November 30, 2015

Funding Agreement Tasks											
Task	Description	Updated Budget	Costs for Current		Costs for Previous		Total Cost through		Budget Remaining	Percent Complete	
			Progress Period	Progress Period	Progress Periods	Progress Period	Progress Period				
1	Program Management	\$ 1,181,235	\$ 85,941	\$ 541,250	\$ 627,191	\$ 554,043	55%				
2	Engineering Design	\$ 3,160,223	\$ -	\$ 393,658	\$ 393,658	\$ 2,766,564	30%				
3	Independent Review	\$ 300,000	\$ 3,671	\$ 38,038	\$ 41,709	\$ 258,291	5%				
4	Environmental Review and Permitting	\$ 2,067,132	\$ 186,276	\$ 1,048,193	\$ 1,234,470	\$ 832,662	60%				
5	Real Estate Planning & Acquisition	\$ 94,337	\$ -	\$ -	\$ -	\$ 94,337	0%				
6	Public Outreach	\$ 88,442	\$ -	\$ 62,690	\$ 62,690	\$ 25,752	75%				
<b>TOTALS</b>		\$ 6,891,368	\$ 275,889	\$ 2,083,830	\$ 2,359,719	\$ 4,531,649	34%				

Breakdown of Funding Agreement Task 1

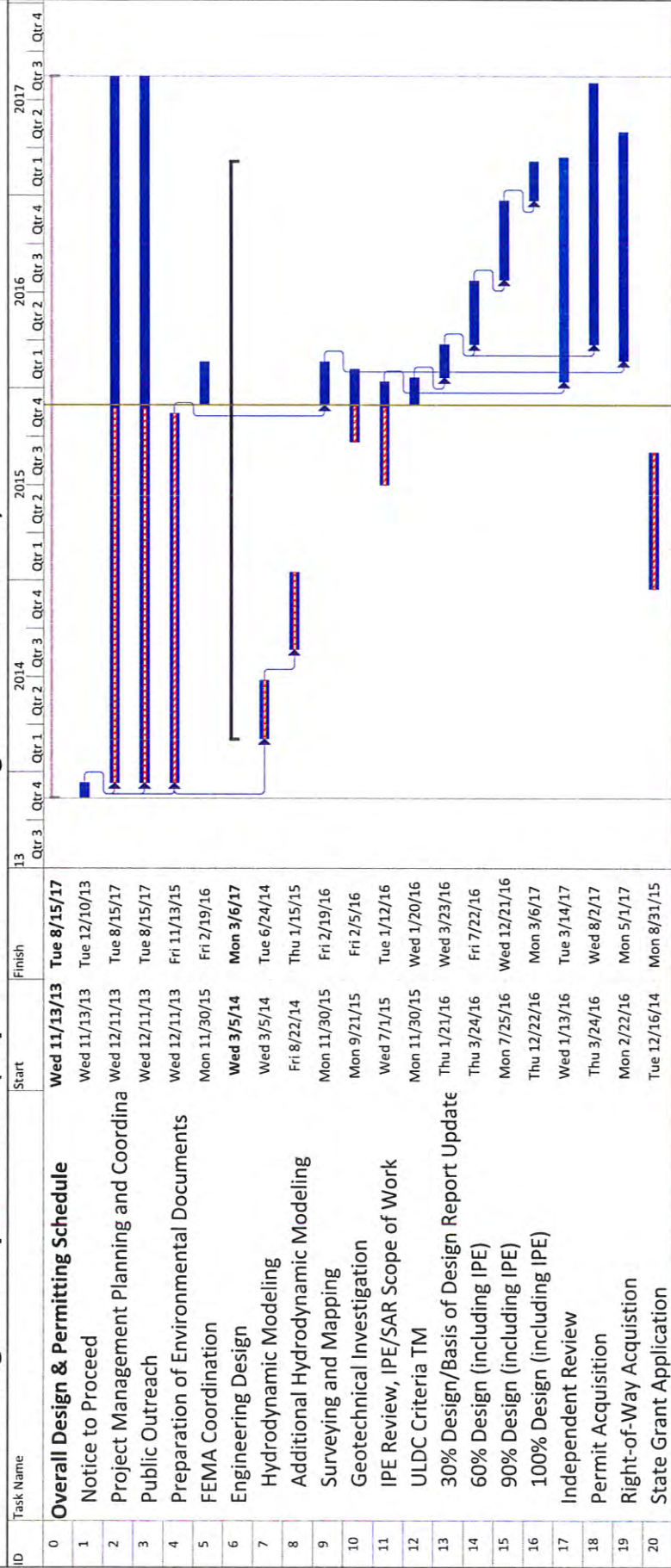
Task	Description	Work Performed By	Updated Budget	Costs for Current		Costs for Previous		Total Cost through		Budget Remaining	Percent Complete
				Progress Period	Progress Period	Progress Periods	Progress Period	Progress Period			
1	Program Management (Design Phase)	SJA/FA	\$ 1,181,235	\$ 25,886	\$ 242,457	\$ 268,343	55%				
		Legal		\$ 24,516	\$ 20,644	\$ 45,160					
		Design Team		\$ 35,539	\$ 278,149	\$ 313,688					
Program Management (Design Phase) TOTAL			\$ 1,181,235	\$ 85,941	\$ 541,251	\$ 627,192	55%				

Table 3

Smith Canal Closure Structure  
Updated Design & Permitting Project Budget  
Through November 30, 2015

Funding Agreement Tasks		Total Cost to Date	Cost to Complete	Total Design Cost	EIP Budget	Total Design Variance
Task	Description					
1	Program Management (Design Phase)	\$ 268,343	\$ 194,114	\$ 462,457	\$ 709,000	\$ (472,235)
		\$ 45,160	\$ 10,484	\$ 55,644		
		\$ 313,688	\$ 349,445	\$ 663,133		
2	Engineering Design	\$ 393,658	\$ 2,766,564	\$ 3,160,223	\$ 2,250,000	\$ (910,223)
3	Independent Review	\$ 41,709	\$ 258,291	\$ 300,000	\$ 300,000	\$ -
4	Environmental Review and Permitting	\$ 1,234,470	\$ 832,662	\$ 2,067,132	\$ 1,375,000	\$ (692,132)
5	Real Estate Planning & Acquisition	\$ -	\$ 94,337	\$ 94,337	\$ 141,000	\$ 46,663
6	Public Outreach	\$ 62,690	\$ 25,752	\$ 88,442	\$ 50,000	\$ (38,442)
	<b>Funding Agreement Totals</b>	\$ 2,359,719	\$ 4,531,649	\$ 6,891,368	\$ 4,825,000	\$ (2,066,368)
-	State Grant Application	\$ 47,702	\$ 9,938	\$ 57,640	\$ 100,000	\$ 42,360
	<b>Overall Project Design Totals</b>	\$ 2,407,421	\$ 4,541,587	\$ 6,949,008	\$ 4,925,000	\$ (2,024,008)

**Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE  
 UPDATED Progress Report Period (September 2015 through November 2015)**



## ANTICIPATED ACTIVITIES NEXT QUARTER

Table 4 presents the anticipated activities for December 2015 through February 2016.

**Table 4. 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>Support environmental legal issues</li> </ul>
	Legal	Ongoing	<ul style="list-style-type: none"> <li>Support environmental legal issues including CEQA lawsuit as well as general project issues</li> </ul>
	Design Team	Ongoing	<ul style="list-style-type: none"> <li>Conduct monthly project development team meetings on 12/17/15, 1/26/16 and 2/23/16</li> <li>Sub-consultant team coordination</li> <li>Support environmental legal issues</li> </ul>
Task 2: Engineering Design		Ongoing	<ul style="list-style-type: none"> <li>Continue geotechnical investigation</li> <li>Initiate topographic and bathymetric surveys</li> <li>Prepare ULDC Criteria TM</li> <li>Initial Meeting with IPE/SAR</li> <li>Initiate update of 30% Design and Basis of Design Report</li> <li>Perform FEMA Interior Drainage Analysis</li> </ul>
Task 3: Independent Review		Ongoing	<ul style="list-style-type: none"> <li>Review geotechnical investigation results</li> <li>Review ULDC TM</li> <li>Review FEMA Interior Drainage Analysis</li> </ul>
Task 4: Environmental Review and Permitting		Ongoing	<ul style="list-style-type: none"> <li>Initiate Delta Stewardship Council consistency determination</li> </ul>
Task 5: Real Estate Planning & Acquisition		Not Started	
Task 6: Public Outreach		Ongoing	<ul style="list-style-type: none"> <li>No activities scheduled</li> </ul>

**DISBURSEMENT  
REQUEST  
SUMMARY**

**AS OF  
November 30, 2015**

**SMITH CANAL CLOSURE STRUCTURE DESIGN  
DISBURSEMENT REQUEST SUMMARY  
As of November 30, 2015**

SIATCA 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	\$177,397.83	
	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		
10/29/2014	SCGATE-04								
	June	\$82,867.52	\$41,433.76	\$4,143.38	\$37,290.38	10/21/2014	Wire transfer	\$0.00	
	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	Wire transfer		
1/22/2015	SCGATE-05								
	September	\$73,779.18	\$36,889.59	\$3,688.96	\$33,200.63	4/22/2015	Wire transfer	\$164,094.12	
	October	\$166,644.38	\$83,322.19	\$8,332.22	\$74,989.97	4/22/2015	Wire transfer		
	November	\$92,187.54	\$46,093.77	\$4,609.38	\$41,484.39	4/22/2015	Wire transfer		\$0.00
4/21/2015	SCGATE-06								
	December	\$66,652.60	\$33,326.30	\$3,332.63	\$29,993.67	12/9/2015	Wire transfer	\$68,443.51	
	January	\$64,894.02	\$32,447.01	\$3,244.70	\$29,202.31	12/9/2015	Wire transfer		
	February	\$20,550.05	\$10,275.03	\$1,027.50	\$9,247.52	12/9/2015	Wire transfer		\$0.00
							Wire transfer. Release retention for SCGATE 01		
				-\$24,967.64		12/9/2015			
7/20/2015	SCGATE-07								
	March	\$82,886.45	\$41,443.23	\$4,144.32	\$37,298.90			\$37,298.90	
	April	\$76,071.83	\$38,035.92	\$3,803.59	\$34,232.32				
	May	\$33,990.81	\$16,995.41	\$1,699.54	\$15,295.86				
12/1/2015	SCGATE-08								
	June	\$265,915.65	\$132,957.83	\$13,295.78	\$119,662.04			\$119,662.04	
	July	\$37,505.65	\$18,752.83	\$1,875.28	\$16,877.54				
	August	\$51,749.21	\$25,874.61	\$2,587.46	\$23,287.14				\$23,287.14
2/3/2016	SCGATE-09								
	September	\$41,211.51	\$20,605.76	\$2,060.58	\$18,545.18			\$18,545.18	
	October	\$161,205.38	\$80,602.69	\$8,060.27	\$72,542.42				
	November	\$73,471.96	\$36,735.98	\$3,673.60	\$33,062.38				\$33,062.38
	<b>Totals To Date</b>	<b>\$2,359,718.35</b>	<b>\$1,179,859.18</b>	<b>\$93,018.28</b>	<b>\$1,086,840.90</b>			<b>\$691,069.46</b>	<b>\$370,803.80</b>

**WORK PLAN**  
**12/1/15 – 2/29/16**  
**(AS OF 2/2/16)**

# 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:** 12/1/15 thru 2/29/16

## PROJECT INFORMATION

### Engineering and design matters

Initiate survey and design activities and continue geotechnical investigation. Continue providing additional information to FEMA regarding storage of interior drainage behind a closed Smith Canal gate.

### Environmental matters

Initiate permitting with Delta Stewardship Council. Address CEQA legal actions taken by Atherton Cove Property Owners Association and Dominick Gulli.

### Major accomplishments expected the Work Plan period

Table 1 presents the anticipated activities for December 2015 through February 2016.

**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>Support environmental legal issues</li> </ul>
	Legal	Ongoing	<ul style="list-style-type: none"> <li>Support environmental and legal CEQA issues as well as general project issues</li> </ul>
	Design Team	Ongoing	<ul style="list-style-type: none"> <li>Conduct monthly project development team meetings on 12/17/15, 1/26/16 and 2/23/16</li> <li>Sub-consultant team coordination</li> <li>Support environmental legal issues</li> </ul>
Task 2: Engineering Design		Ongoing	<ul style="list-style-type: none"> <li>Continue geotechnical investigation</li> <li>Initiate topographic and bathymetric surveys</li> <li>Prepare ULDC Criteria TM</li> <li>Initial Meeting with IPE/SAR</li> <li>Initiate update of 30% Design and Basis of Design Report</li> <li>Perform FEMA Interior Drainage Analysis</li> </ul>
Task 3: Independent Review		Ongoing	<ul style="list-style-type: none"> <li>Review geotechnical investigation results</li> <li>Review ULDC TM</li> <li>Review FEMA Interior Drainage Analysis</li> </ul>
Task 4: Environmental Review and Permitting		Ongoing	<ul style="list-style-type: none"> <li>Initiate Delta Stewardship Council consistency determination</li> </ul>
Task 5: Real Estate Planning & Acquisition		Not Started	
Task 6: Public Outreach		Ongoing	<ul style="list-style-type: none"> <li>No activities scheduled</li> </ul>



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

Legal CEQA actions from Atherton Cove Property Owners Association and Dominick Gulli may impact the budget and schedule for the design. However, the overall budget and schedule for the completion of the project are still on track.

**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**

Legal CEQA actions brought by Atherton Cove Property Owners Association and Dominick Gulli.

**COST INFORMATION****Projected Costs**

Table 2 (attached) presents an itemized cost breakdown by task that are anticipated for this work plan period as well as an overall summary for the anticipated costs to date at the end of the work plan period.

The projected costs show that we will have spent approximately 39% of our updated budget, which is consistent with the amount of work anticipated for completion thus far.

**Changes to the budget**

No changes to the budget are anticipated during this Work Plan period.

**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 Updated Project Schedule through the end of the Work Plan period. No changes are anticipated to the updated schedule during this Work Plan period.

Table 2

Smith Canal Closure Structure  
 Overall Project Budget  
 Work Plan Budget through November 2015  
 Work Plan Period = December 1, 2015 through February 29, 2016

Task	Description	Budget	Costs for Current Work Plan Period		Costs for Previous Periods	Total Cost through Work Plan Period	Budget Remaining at Completion of Work Plan Period	Percent Complete at Completion of Work Plan Period
1	Program Management (Design Phase)	\$ 1,181,235		\$ 30,000	\$ 268,343	\$ 298,343	\$ 414,043	58%
				\$ 30,000	\$ 45,160	\$ 75,160		
				\$ 80,000	\$ 313,688	\$ 393,688		
2	Engineering Design	\$ 3,160,223	\$ 120,000	\$ 393,658	\$ 513,658	\$ 2,646,564	35%	
3	Independent Review	\$ 300,000	\$ 30,000	\$ 41,709	\$ 71,709	\$ 228,291	10%	
4	Environmental Review and Permitting	\$ 2,067,132	\$ 60,000	\$ 1,234,470	\$ 1,294,470	\$ 772,662	63%	
5	Real Estate Planning & Acquisition	\$ 94,337	\$ -	\$ -	\$ -	\$ 94,337	0%	
6	Public Outreach	\$ 88,442	\$ -	\$ 62,690	\$ 62,690	\$ 25,752	90%	
<b>TOTALS</b>		\$ 6,891,368	\$ 350,000	\$ 2,359,719	\$ 2,709,719	\$ 4,181,649	39%	

**Figure 1. SMITH CANAL GATE OVERALL DESIGN & PERMITTING SCHEDULE  
Work Plan Period (December 2015 through February 2016)**

