

AMERICAN RIVER FLOOD CONTROL DISTRICT

Offices - Appointments - Duties - Assignments (2017)

Brian F. Holloway, President

Trustee
Director, SAFCA

ARFCD Committee-- Finance

Bettina C. Redway, Vice President

Trustee
Alternate Director SAFCA

ARFCD Committee -- Policy
ARFCD Committee-- Personnel

Cyril A. Shah, Treasurer

Trustee
Director, SAFCA

ARFCD Committee -- Finance

William J. Pavão, Secretary

Trustee
Director, JPIA
Alternate Director SAFCA

ARFCD Committee -- Personnel
ARFCD Committee-- Newsletter

Steven T. Johns, Trustee

Trustee
Director, LAFCO Special District Advisory Committee

ARFCD Committee-- Policy
ARFCD Committee-- Newsletter

AMERICAN RIVER FLOOD CONTROL DISTRICT Operating Committee Structure (2017)

POLICY COMMITTEE

Activated: 06/14/95

Steven T. Johns
Bettina C. Redway
Tim Kerr, General Manager/Engineer

FINANCE COMMITTEE

Activated: 01/11/95

Cyril A. Shah
Brian F. Holloway
Tim Kerr, General Manager/Engineer

PERSONNEL and BENEFITS COMMITTEE

Activated: 01/11/95

Bettina C. Redway
William J. Pavão
Tim Kerr, General Manager/Engineer

NEWSLETTER COMMITTEE

Activated: 06/11

William J. Pavão
Steven T. Johns
Tim Kerr, General Manager/Engineer

LEGISLATIVE COMMITTEE

Activated: 02/10/99

De-Activated: 01/13/17

PROPERTY DEVELOPMENT COMMITTEE

De-Activated: 01/12/98

LEGAL AFFAIRS COMMITTEE

Activated: 01/08/97

Unstaffed: 01/13/99

AMERICAN RIVER FLOOD CONTROL DISTRICT

Offices - Appointments - Duties - Assignments (2017)

Tim Kerr, General Manager/Engineer

Alternate Director, JPIA
Assistant Treasurer
Director, CCVFCA

Committee Staff
Policy
Personnel
Finance

Malane Chapman, Office Manager

Clerk of the Board
Assistant Secretary

December 8, 2017
Sacramento, California

The Board of Trustees of the American River Flood Control District met in regular session in its office at 185 Commerce Circle, Sacramento, CA at 11:00 a.m. on Friday, December 8, 2017. In attendance were Trustee Holloway, Trustee Redway, Trustee Shah, Trustee Pavão and Trustee Johns. Trustee Holloway presided. Also present from the District were General Manager (GM) Tim Kerr, Superintendent Ross Kawamura, Legal Counsel Rebecca Smith and Office Manager Malane Chapman. No members of the public were present.

Item No. 1 Public Comments on Non-Agenda Items: There were no comments on non-agenda items from members of the public.

Item No. 2 Approval of Consent Agenda Items: Item 2d) Creek Week 2018 Participation was removed from the Consent Agenda. On a motion by Trustee Pavão seconded by Trustee Johns, the Board unanimously approved Items 2a) Minutes of Regular Meeting on November 17, 2017, 2b) Approval of Report of Investment Transactions October 2017 (City Pool A, LAIF, River City) and Treasurer's Certification, 2c) District Financial Reports: Statement of Operations (November 2017) and Cash Flow Report and 2e) Correspondence: None.

Item No. 2d) Creek Week 2018 Participation: On a motion by Trustee Shah seconded by Trustee Pavão, the Board unanimously approved a \$1000 cash donation and \$1000 in-kind donation for the 2018 Creek Week Participation.

Item No. 3 Accounts Payable and General Fund Expenses (November 2017): Trustee Pavão requested clarification regarding payment to Porters Old 2 New Automotive. Trustee Shah requested clarification regarding payment to The Mongan Group. On a motion by Trustee Pavão seconded by Trustee Johns, the Board unanimously approved payments on the Schedule of Accounts Payable (November 2017) of \$64,956.65 and General Fund Expenses of \$63,408.80 (total aggregate sum \$128,365.45).

Item No. 4 Permit at 1870 Claremont Road, Carmichael, CA: On a motion by Trustee Redway seconded by Trustee Pavão, the Board unanimously approved the endorsement of the permit to construct a home remodel and expansion.

Item No. 5 Winter 2017 Newsletter: On a motion by Trustee Johns seconded by Trustee Pavão, the Board unanimously approved the newsletter as presented.

Item No. 6 Retiree Medical Actuarial Valuation: Other Post Employment Benefits (OPEB): Trustee Shah noted that liquidity is very important to the District and by not starting a formal funding program the District maintains a very conservative 3% rate. Trustee Redway noted that the District does not issue bonds. On a motion by Trustee Shah seconded by Trustee Johns, the Board unanimously accepted the actuarial evaluation and confirmed the current structure of the Retiree Health Benefits.

Item No. 7 Resolution 2017-07: Dedication of the Karolyn W. Simon Board Room: The Resolution was read by Trustee Holloway. On a motion by Trustee Holloway seconded by Trustee Pavão, the Board unanimously approved the naming of the District board room to the Karolyn W. Simon Board Room.

Item No. 8 Administrative Staff Reports:

a) *General Manager Tim Kerr reported on the following:*

- General Manager's November Meeting Summary: Central Valley Flood Protection Board Coordination Committee meeting, Sprint Fiber Optic Encroachment Site Visit and SAFCA Agency Staff meeting were discussed;
- Proactive Tree Maintenance: Removing problem trees that are along the levee and replacing with new trees better suited for the area;
- Abandoned Property, 1156 Rivera Drive: SAFCA is interested in purchasing this property and adjusting the lot line and creating new levee access;
- District Vacancy: A contingency offer of employment has been extended to a Range A employee;
- Hydrologic Conditions: Folsom Lake is 63% full, with an outflow of 3,797 cfs and the gauge at the I Street Bridge shows 7 feet above sea level;
- Next Board Meeting: January 12, 2018.

b) *Legal Counsel Rebecca Smith had nothing further to report.*

c) *Office Manager Malane Chapman reported on the following:*

- Fiscal Year 2016-2017 Audit: Richardson & Company completed the auditing field work on November 29 and November 30;

Item No. 9 Operations and Maintenance Staff Reports:

a) *Superintendent Ross Kawamura reported on:*

- Crew activities including downed trees and camp repair.

Item No. 10 Questions and Comments by Trustees:

Item No 11 & 12 Holiday Staff and Board Gathering and Adjourn: There being no further business requiring action by the Board, the meeting was adjourned to the Holiday Gathering by Trustee Holloway at 12:13 p.m. The Trustees met socially with District Staff and Consultants until 1:50 p.m.

Attest:

Secretary

President

**American River Flood Control District
Staff Report**

Investment Transactions Summary; November 2017

LAIF:

- On November 28, 2017 a transfer was sent to River City Bank in the amount of \$325,000.00.

City Pool A

- Accrued Interest Receivable for the month of November was \$8,755.64.
- As of November 30, 2017, the balance of Interest Receivable in this account was \$48,442.85.

Interest Receivable is accrued and transferred to the Cash Balance at the discretion of the City.

River City Bank:

- On November 28, 2017 a transfer was received from LAIF in the amount of \$325,000.00.
- Total amount of Accounts Payable cleared during the month of November was \$211,763.51.
- On November 30, 2017 a monthly interest payment was deposited in the amount of \$17.48.

**American River Flood Control District
Investment Transaction Report
November 2017**

Item 5b

Balance and Transactions

Account		LAIF	City Pool A	River City Bank
Beginning Balance	11/1/17	\$764,223.13	\$7,267,268.07	\$327,175.66
Transactions				
Transfer from LAIF to River City	11/28/17	(325,000.00)		325,000.00
City Pool A	11/30/17		8,755.64	
River City Bank Interest	11/30/17			17.48
Accounts Payable (cleared)				(211,763.51)
Ending Balance:	11/30/17	\$439,223.13	\$7,267,268.07	\$440,429.63

**City Pool A Interest is accrued and deposited in the account at the discretion of the City.

Interest

Date:	Dec 2016	Jan 2017	Feb 2017	Mar 2017
LAIF	0.65	0.75	0.75	0.82
City Pool A	1.17	1.39	1.58	1.47
River City Bank	0.16	0.19	0.25	0.25
Date:	Apr 2017	May 2017	June 2017	July 2017
LAIF	0.88	0.88	0.98	1.05
City Pool A	1.56	1.42	1.55	1.50
River City Bank	0.25	0.25	0.20	0.08
Date:	Aug 2017	Sep 2017	Oct 2017	Nov 2017
LAIF	1.08	1.11	1.14	1.17
City Pool A	1.61	1.70	1.66	1.46
River City Bank	0.08	0.08	0.08	0.08

AMERICAN RIVER FLOOD CONTROL DISTRICT

MONTHLY REVIEW – NOVEMBER 2017

STRATEGY

The ARFCD funds are invested in the City of Sacramento’s Pool A investment fund. The Fund is invested pursuant to the objectives and requirements set forth in the City’s investment policy. The three objectives of the investment policy, in order of priority, are (1) the preservation of capital by the investment in safe instruments, (2) the liquidity needs of the City and pool participants so such parties will have access to cash when they need it, and (3) the maximizing of current income while remaining consistent with the other more important objectives. The City’s investment policy incorporates applicable provisions of state law including, among other things, the prudent person standard and California Code Section 53601 pertaining to eligible investments.

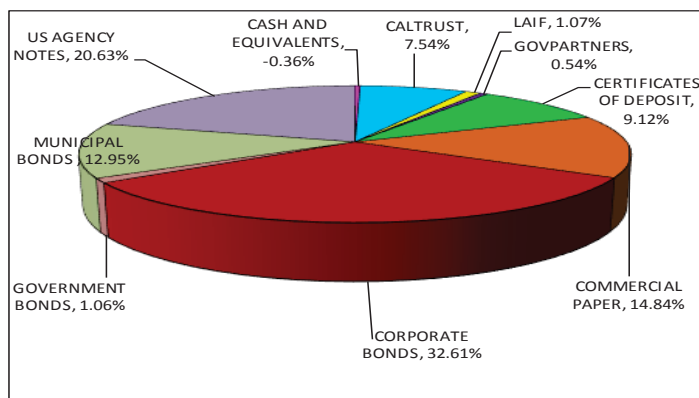
PORTFOLIO STATISTICS

Portfolio’s Beginning Balance	7,306,955
Contributions	0
Withdrawals	0
Interest Earned	8,756
Month-End Market Value	7,315,711

PERFORMANCE

Earned Interest Yield for the Month	1.46%
Laif Rate of Return (book value)	1.17%
90 Day T-Bill	1.18%
Federal Funds	1.15%

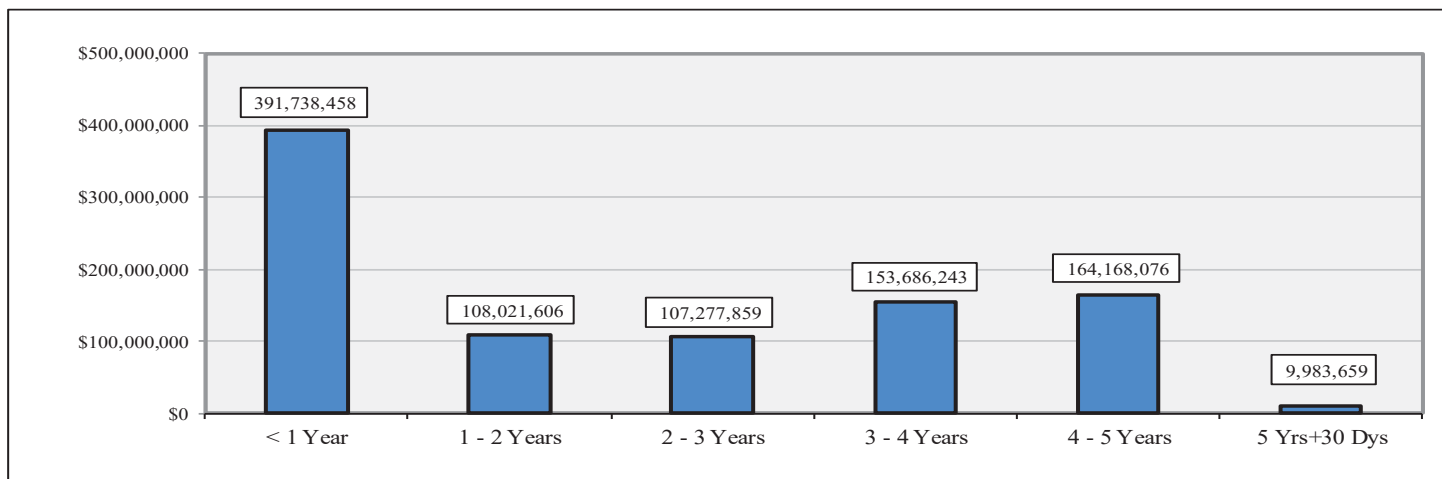
POOL A BY ASSET CLASS



POOL A MATURITY SCHEDULE

Maturity	Market Value	%
< 1 Year	391,738,458	41.90%
1 - 2 Years	108,021,606	11.55%
2 - 3 Years	107,277,859	11.48%
3 - 4 Years	153,686,243	16.44%
4 - 5 Years	164,168,076	17.56%
5 Yrs+30 Dys	9,983,659	1.07%
Total	934,875,901	100.00%

Investment Description	Portfolio at Cost	Yield at Month End
CASH AND EQUIVALENTS	-0.36%	1.12%
CALTRUST	7.54%	1.39%
LAIF	1.07%	1.17%
GOVPARTNERS	0.54%	1.14%
CERTIFICATES OF DEPOSIT	9.12%	1.72%
COMMERCIAL PAPER	14.84%	1.45%
CORPORATE BONDS	32.61%	2.00%
GOVERNMENT BONDS	1.06%	1.90%
MUNICIPAL BONDS	12.95%	1.96%
US AGENCY NOTES	20.63%	1.85%



City of Sacramento
 CASH LEDGER
American River Flood Control District
From 11-01-17 To 11-30-17

Item 5b

All Cash Accounts

Trade Date	Settle Date	Tran Code	Quantity	Security	Amount	Cash Balance
Pool A Interest Receivable						
11-01-17				Beginning Balance		39,687.21
11-30-17	11-30-17	in		Pool A Cash	8,755.64	48,442.85
				Nov 2017 estimated Pool A interest		
					8,755.64	
11-30-17				Ending Balance		48,442.85
Pool A Cash						
11-01-17				Beginning Balance		7,267,268.07
11-30-17				Ending Balance		7,267,268.07

Local Agency Investment Fund
P.O. Box 942809
Sacramento, CA 94209-0001
(916) 653-3001

www.treasurer.ca.gov/pmia-laif/laif.asp

January 04, 2018

AMERICAN RIVER FLOOD CONTROL DISTRICT

DISTRICT ENGINEER/MANAGER
165 COMMERCE CIRCLE, SUITE D
SACRAMENTO, CA 95815

PMIA Average Monthly Yields

Account Number:
90-34-002

Tran Type Definitions

November 2017 Statement

Effective Date	Transaction Date	Tran Type	Confirm Number	Authorized Caller	Amount
11/29/2017	11/28/2017	RW	1555153	TIMOTHY R. KERR	-325,000.00

Account Summary

Total Deposit:	0.00	Beginning Balance:	764,223.13
Total Withdrawal:	-325,000.00	Ending Balance:	439,223.13



River City Bank

WWW.RIVERCITYBANK.COM

PO Box 15247, Sacramento, CA 95851-0247

Return Service Requested

Item 5b

REPURCHASE



AMERICAN RIVER FLOOD CONTROL DISTRICT
4000 MAGNOLIA HILLS DR
EL DORADO HILLS CA 95762-6561

Last statement: October 31, 2017
This statement: November 30, 2017
Total days in statement period: 30

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0811100952
(0)

Direct inquiries to:
916-567-2836

Public Fund Interest Checking

Account number	0811100952	Beginning balance	\$327,175.66
Low balance	\$146,519.22	Total additions	322,903.52
Average balance	\$265,868.86	Total subtractions	209,649.55
Avg collected balance	\$265,868	Ending balance	\$440,429.63

DEBITS

Date	Description	Subtractions
11-01	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	0.56
11-03	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	29,159.62
11-06	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	150.00
11-07	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	1,982.95
11-08	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	2.95
11-09	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	331.69
11-13	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	175.35

REPURCHASE

AMERICAN RIVER FLOOD CONTROL DISTRICT
November 30, 2017

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0811100952

Date	Description	Subtractions
11-14	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	5,850.78
11-15	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	24,054.83
11-20	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	17,652.40
11-21	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	20,128.04
11-22	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	67,823.32
11-24	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	11,675.58
11-27	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	693.15
11-28	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	975.22
11-30	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0736	28,993.11

CREDITS

Date	Description	Additions
11-29	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0736	322,886.04
11-30	' Interest Credit	17.48

DAILY BALANCES

Date	Amount	Date	Amount	Date	Amount
10-31	327,175.66	11-09	295,547.89	11-22	159,863.17
11-01	327,175.10	11-13	295,372.54	11-24	148,187.59
11-03	298,015.48	11-14	289,521.76	11-27	147,494.44
11-06	297,865.48	11-15	265,466.93	11-28	146,519.22
11-07	295,882.53	11-20	247,814.53	11-29	469,405.26
11-08	295,879.58	11-21	227,686.49	11-30	440,429.63

REPURCHASE

AMERICAN RIVER FLOOD CONTROL DISTRICT
November 30, 2017

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0811100952

INTEREST INFORMATION

Annual percentage yield earned	0.08%
Interest-bearing days	30
Average balance for APY	\$265,868.86
Interest earned	\$17.48

OVERDRAFT/RETURN ITEM FEES

	Total for this period	Total year-to-date
Total Overdraft Fees	\$0.00	\$0.00
Total Returned Item Fees	\$0.00	\$0.00



River City Bank

WWW.RIVERCITYBANK.COM

PO Box 15247, Sacramento, CA 95851-0247

Return Service Requested

Item 5b

CHECKING



Last statement: October 31, 2017
This statement: November 30, 2017
Total days in statement period: 30

AMERICAN RIVER FLOOD CONTROL DISTRICT
4000 MAGNOLIA HILLS DR
EL DORADO HILLS CA 95762-6561

Page 1
0811090736
(52)

Direct inquiries to:
916-567-2836

Public Fund Interest Checking

Account number	0811090736	Beginning balance	\$-0.56
Enclosures	52	Total additions	534,649.55
Low balance	\$0.00	Total subtractions	534,651.37
Average balance	\$0.00	Ending balance	\$-2.38
Avg collected balance	\$0		

CHECKS

Number	Date	Amount	Number	Date	Amount
6087	11-09	10.00	6140	11-22	359.76
6117 *	11-13	175.35	6142 *	11-21	124.08
6118	11-21	9,175.00	6143	11-20	386.25
6119	11-22	24,973.91	6144	11-22	30.00
6120	11-22	8,081.08	6145	11-22	871.54
6123 *	11-28	711.41	6146	11-21	5,598.71
6124	11-27	42.87	6147	11-21	35.00
6125	11-21	350.00	6149 *	11-22	568.94
6126	11-22	2,000.00	6150	11-27	22.68
6127	11-22	500.00	6151	11-20	60.39
6128	11-27	189.89	6152	11-28	61.00
6129	11-21	145.06	6153	11-22	498.16
6130	11-21	525.00	6154	11-30	246.00
6131	11-28	202.81	6155	11-22	1,659.54
6132	11-21	425.70	6157 *	11-30	3,634.00
6133	11-22	270.00	6158	11-24	948.62
6134	11-22	380.94	6159	11-22	26,457.00
6135	11-24	310.55	6160	11-21	1,381.76
6136	11-21	1,708.85	6161	11-24	621.71
6137	11-21	122.74	6162	11-22	200.00
6138	11-22	221.43	6163	11-24	7,803.26
6139	11-20	16,800.00	6164	11-24	772.67

CHECKING

AMERICAN RIVER FLOOD CONTROL DISTRICT
November 30, 2017

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Number	Date	Amount	Number	Date	Amount
6165	11-27	437.71	6169	11-24	1,017.33
6166	11-22	441.07	6170	11-20	31.80
6167	11-22	309.95	* Skip in check sequence		
6168	11-24	201.44			

DEBITS

Date	Description	Subtractions
11-03	' ACH Withdrawal CALPERS 1900 100000015105355	3,226.37
11-03	' ACH Withdrawal INTUIT PAYROLL S QUICKBOOKS 171103 946000047	25,933.25
11-06	' ACH Withdrawal HEALTH EQUITY INC HealthEqui 171106	150.00
11-07	' ACH Withdrawal CALPERS 1900 100000015102106	1,982.95
11-08	' ACH Withdrawal HEALTH EQUITY INC HealthEqui 171108	2.95
11-09	' ACH Withdrawal INTUIT PAYROLL S QUICKBOOKS 171109 946000047	321.69
11-14	' ACH Withdrawal HEALTH EQUITY INC HealthEqui 171114	150.00
11-14	' ACH Withdrawal CALPERS 3100 100000015087290	979.24
11-14	' ACH Withdrawal CALPERS 1900 100000015122206	1,982.95
11-14	' ACH Withdrawal CALPERS 3100 100000015087246	2,738.59
11-15	' ACH Withdrawal INTUIT PAYROLL S QUICKBOOKS 171115 946000047	24,054.83
11-20	' ACH Withdrawal CALPERS 1900 100000015125686	373.96
11-21	' ACH Withdrawal INTUIT PAYROLL S QUICKBOOKS 171121 946000047	536.14
11-29	' ACH Withdrawal HEALTH EQUITY INC HealthEqui 171129	150.00
11-29	' ACH Withdrawal CALPERS 1900 100000015129865	1,948.96
11-29	Incoming Wire Fee 201711290032650 STATE OF CALIFORNI	15.00
11-29	' Automatic Transfer TRANSFER TO DEPOSIT SYSTEM ACCOUNT XXXXXX0952	322,886.04

CHECKING

AMERICAN RIVER FLOOD CONTROL DISTRICT
November 30, 2017

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0811090736

Date	Description	Subtractions
11-30	' ACH Withdrawal CALPERS 3100 100000015087310	979.24
11-30	' ACH Withdrawal INTUIT PAYROLL S QUICKBOOKS 171130 946000047	24,133.87
11-30	' Service Charge ADDITIONAL DEBITS	2.38

CREDITS

Date	Description	Additions
11-01	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	0.56
11-03	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	29,159.62
11-06	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	150.00
11-07	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	1,982.95
11-08	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	2.95
11-09	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	331.69
11-13	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	175.35
11-14	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	5,850.78
11-15	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	24,054.83
11-20	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	17,652.40
11-21	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	20,128.04
11-22	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	67,823.32

CHECKING

AMERICAN RIVER FLOOD CONTROL DISTRICT
November 30, 2017

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0811090736

Date	Description	Additions
11-24	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	11,675.58
11-27	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	693.15
11-28	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	975.22
11-29	Incoming Wire 201711290032650 STATE OF CALIFORNI	325,000.00
11-30	' Automatic Transfer TRANSFER FROM DEPOSIT SYSTEM ACCOUNT XXXXXX0952	28,993.11

DAILY BALANCES

Date	Amount	Date	Amount	Date	Amount
10-31	-0.56	11-09	0.00	11-22	0.00
11-01	0.00	11-13	0.00	11-24	0.00
11-03	0.00	11-14	0.00	11-27	0.00
11-06	0.00	11-15	0.00	11-28	0.00
11-07	0.00	11-20	0.00	11-29	0.00
11-08	0.00	11-21	0.00	11-30	-2.38

INTEREST INFORMATION

Annual percentage yield earned	0.00%
Interest-bearing days	30
Average balance for APY	\$0.00
Interest earned	\$0.00

OVERDRAFT/RETURN ITEM FEES

	Total for this period	Total year-to-date
Total Overdraft Fees	\$0.00	\$0.00
Total Returned Item Fees	\$0.00	\$0.00

CERTIFICATION

The American River Flood Control District's investment portfolio [] is [is not] in compliance with the District's Financial Management Investments Plan.

The District's investment portfolio is not in compliance in the following respects:

A cash flow analysis confirms that the District [is] [is not] expected to be able to meet its expenditure requirements for the next six months.

The District's cash is insufficient to meet obligations for the next six months as a result of the following:

Attached hereto are the most recent statements of accounts of the following District accounts:

LAIF Account, State Treasurer's Office **Dated November 2017**

Investment Pool A Account, City of Sacramento **Dated November 2017**

District Checking Account, River City Bank **Dated November 2017**

District Repurchase Account, River City Bank **Dated November 2017**

Certified by: _____ Date: _____
Cyril Shah, District Treasurer

American River Flood Control District
Statement of Operations
July 1, 2017 to December 31, 2017 (Six Months Ending of Fiscal Year 2017-2018)
For Internal Use Only

	Year to Date July 1, 2017 to December 31, 2017	Budget	Percent of Budget
Revenues			
Benefit assessment	\$ -	\$ 1,385,000	0.00%
Consolidated capital assessment	-	650,000	0.00%
Interest	50,729	75,000	67.64%
O & M agreements	-	225,000	0.00%
Miscellaneous	3,657	3,500	104.49%
Total Revenues	<u>54,386</u>	<u>2,338,500</u>	2.33%
M & O Expenses			
Salaries and wages	303,321	664,645	45.64%
Payroll tax expense	20,547	53,172	38.64%
Pension expense	59,422	124,602	47.69%
Compensation insurance	8,081	33,232	24.32%
Medical/dental/vision	94,247	189,474	49.74%
Fuel/oil reimbursement	8,714	30,000	29.05%
Equipment rental	19,248	6,500	296.12%
Equipment repairs/parts	15,232	40,000	38.08%
Equipment purchases (< \$5,000)	-	5,000	0.00%
Shop supplies	4,958	12,000	41.32%
Levee maint. (supp. & material)	1,865	17,000	10.97%
Levee maint. chemicals	9,235	20,000	46.18%
Levee maint. services	48,360	34,000	142.24%
Rodent abatement (supplies & materials)	6,192	10,000	61.92%
Employee uniforms	256	5,000	5.12%
Staff training	2,959	15,000	19.73%
Miscellaneous	541	2,000	27.05%
Small tools & equipment	-	3,000	0.00%
Emergency preparedness program	6,907	20,000	34.54%
Engineering services	11,317	8,000	141.46%
Encroachment remediation	-	15,000	0.00%
Total M & O Expenses	<u>621,402</u>	<u>1,307,625</u>	47.52%
Administration Expenses			
Board of trustees compensation	3,015	7,900	38.16%
Trustee expenses	334	1,750	19.09%
Accounting services	-	15,000	0.00%
Legal services (general)	9,409	50,000	18.82%
Utilities	11,664	25,000	46.66%
Telephone	7,634	12,500	61.07%
Retiree benefits	79,622	135,270	58.86%
Office equipment/furniture	-	10,000	0.00%
Office supplies	497	2,000	24.85%
Auto allowance	3,523	7,100	49.62%
Parking reimbursement	29	150	19.33%
General office expense	4,208	13,000	32.37%
Technology and software	4,284	17,000	25.20%
Dues and associations	21,124	25,000	84.50%
Property and liability insurance	23,631	30,000	78.77%
Conference/workshop/seminar	-	1,500	0.00%
Public relations/information	2,500	35,000	7.14%
Miscellaneous	1,817	5,000	36.34%
Employee morale/wellness	882	1,500	58.80%
Investment fees	3,634	13,000	27.95%
Community services	-	1,500	0.00%
Bookkeeping services	2,681	12,000	22.34%
Property taxes	1,660	3,000	55.33%
Building maintenance	1,369	17,000	8.05%
County Dtech fees for DLMS	37,600	60,477	62.17%
County assessment fees	1,061	21,000	5.05%
Interest expense	226	-	Not budgeted
Total Administration Expenses	<u>222,404</u>	<u>522,647</u>	42.55%
Special Projects Expenses			
Engineering studies/survey studies	-	15,000	0.00%
Levee standards compliance	11,173	100,000	11.17%
Small capital projects	8,610	50,000	17.22%
Total Special Project Expenses	<u>19,783</u>	<u>165,000</u>	11.99%
Capital Outlay			
Equipment purchases (over \$5,000)	48,189	50,000	96.38%
Total Capital Outlay	<u>48,189</u>	<u>50,000</u>	
Capital Outlay: District Headquarters Build-Out			
Building improvements/maintenance	-	20,000	0.00%
La Riviera improvements/maintenance	746	30,000	2.49%
	<u>746</u>	<u>50,000</u>	

Note: Amounts above are not audited

The above information is current through the last day of the previous month's bank activity.

Data has been verified by the bookkeeper and physical copies of checks have not been reviewed or received and some checks may not have cleared the bank account.

AMERICAN RIVER FLOOD CONTROL DISTRICT
Cash Flow Report
July 2017 through June 2018

Cash Flow Report

Maintenance and Operations Expen	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	TOTAL
500 · Salary/Wages	47,744.54	50,883.41	51,666.88	50,964.96	51,666.88	74,781.73	0.00	0.00	0.00	0.00	0.00	0.00	327,708.40
501 · Payroll Taxes	3,674.40	3,923.51	3,992.41	3,648.14	3,160.27	4,494.90	0.00	0.00	0.00	0.00	0.00	0.00	22,893.63
502 · Pension	10,923.54	5,981.02	11,142.09	9,080.39	7,296.32	11,252.62	3,226.37	0.00	0.00	0.00	0.00	0.00	58,902.35
503 · Compensation Insurance	8,741.45	0.00	0.00	0.00	8,081.08	0.00	0.00	0.00	0.00	0.00	0.00	0.00	16,822.53
504 · Medical/Dental/Vision	13,701.42	13,701.42	13,800.42	13,701.42	13,701.42	14,791.05	0.00	0.00	0.00	0.00	0.00	0.00	83,397.15
508 · Fuel/Oil	2,966.92	2,085.35	2,513.28	837.83	1,708.85	822.09	0.00	0.00	0.00	0.00	0.00	0.00	10,934.32
509 · Equipment Rental	4,310.00	2,060.14	4,643.10	3,333.48	5,598.71	3,612.79	0.00	0.00	0.00	0.00	0.00	0.00	23,558.22
510 · Equipment Purchase(< \$500	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
511 · Equipment Repair/Parts	2,536.96	3,662.27	3,409.60	2,276.33	2,061.22	2,871.17	0.00	0.00	0.00	0.00	0.00	0.00	16,817.55
512 · Shop Supplies	1,471.30	869.01	1,771.04	711.22	1,353.41	469.05	0.00	0.00	0.00	0.00	0.00	0.00	6,645.03
514 · Levee Maint(Supplies&Mate	0.00	392.13	0.00	208.74	269.14	1,118.96	0.00	0.00	0.00	0.00	0.00	0.00	1,988.97
515 · Levee Maintenance Services	6,508.48	9,004.85	1,075.98	27,637.64	9,159.76	0.00	0.00	0.00	0.00	0.00	0.00	0.00	53,386.71
516 · Employee Uniforms	0.00	486.19	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	486.19
518 · Staff Training	738.93	164.58	5.20	235.36	327.31	375.54	0.00	0.00	0.00	0.00	0.00	0.00	1,846.92
519 · Miscellaneous O&M	0.00	0.00	0.00	540.62	1,061.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1,601.62
521 · Small Tools & Equip	2,601.61	222.65	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	2,824.26
523 · Levee Maint. (Chemicals)	44.31	1,432.03	0.00	0.00	7,803.26	0.00	0.00	0.00	0.00	0.00	0.00	0.00	9,279.60
525 · Emergency Preparedness Pl	0.00	0.00	0.00	0.00	0.00	9,706.54	0.00	0.00	0.00	0.00	0.00	0.00	9,706.54
530 · Encroachment Remediation	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
532 · Rodent Abatement	0.00	26.88	333.93	5,831.10	0.00	1.34	0.00	0.00	0.00	0.00	0.00	0.00	6,193.25
605 · Engineering Services	3,878.00	2,986.75	4,745.50	1,645.50	386.25	4,539.75	0.00	0.00	0.00	0.00	0.00	0.00	18,181.75
615 · Survey Services	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
616 · Environmental Services/Stud	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total M&O Expense	109,841.86	97,882.19	99,099.43	120,652.73	113,634.88	128,837.53	3,226.37	0.00	0.00	0.00	0.00	0.00	673,174.99

Administrative Expenses	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	TOTAL
505 · Telephone	1,018.25	1,048.45	1,056.94	1,018.12	1,291.36	1,074.05	0.00	0.00	0.00	0.00	0.00	0.00	6,507.17
506 · Utility Charges	2,753.83	2,281.71	2,741.07	2,311.02	3,153.53	1,288.83	0.00	0.00	0.00	0.00	0.00	0.00	14,529.99
507 · Office/Shop Lease	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
513 · Office Supplies	506.71	0.00	220.03	61.22	118.36	0.00	0.00	0.00	0.00	0.00	0.00	0.00	906.32
517 · Auto Allowance	550.00	550.00	550.00	550.00	550.00	825.00	0.00	0.00	0.00	0.00	0.00	0.00	3,575.00
520 · Retiree Benefits	11,272.49	11,272.49	11,272.49	11,272.49	11,272.49	11,991.88	0.00	0.00	0.00	0.00	0.00	0.00	68,354.33
522 · Office Equipment/Furniture	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
526 · Mileage/Parking Reimburs	45.15	0.00	0.00	235.15	0.00	24.00	0.00	0.00	0.00	0.00	0.00	0.00	304.30
527 · General Office Expense	1,159.75	756.29	1,293.60	755.59	1,393.26	719.89	0.00	0.00	0.00	0.00	0.00	0.00	6,078.38
529 · Pre-funding Retiree Benefits	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
531 · Technology & Software	270.26	269.85	514.21	527.38	2,275.37	384.51	0.00	0.00	0.00	0.00	0.00	0.00	4,241.58
600 · Board of Trustees Compens	285.00	380.00	475.00	380.00	760.00	475.00	0.00	0.00	0.00	0.00	0.00	0.00	2,755.00
601 · Trustee Expenses	363.22	81.63	5.81	60.61	58.20	66.57	0.00	0.00	0.00	0.00	0.00	0.00	636.04
602 · Accounting Services	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
603 · Legal Fees (General)	1,448.67	6,298.00	6,255.50	1,129.50	525.00	1,498.50	0.00	0.00	0.00	0.00	0.00	0.00	17,155.17
604 · Flood Litigation	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
606 · Legislative Services	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
607 · Dues and Assoc. Expenses	0.00	5,489.00	60.00	0.00	9,601.00	6,358.00	0.00	0.00	0.00	0.00	0.00	0.00	21,508.00
608 · Insurance Premiums	0.00	0.00	0.00	19,592.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	19,592.00
609 · Conference /Workshops/Ser	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
610 · Public Relations Information	0.00	0.00	0.00	0.00	0.00	2,500.00	0.00	0.00	0.00	0.00	0.00	0.00	2,500.00
611 · Election Expenses	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
612 · District Annexations	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
613 · Community Services	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
614 · Miscellaneous Admin	155.70	146.95	224.75	(3,430.55)	382.89	260.14	0.00	0.00	0.00	0.00	0.00	0.00	(2,260.12)
617 · Investment Fees	0.00	3,619.00	0.00	0.00	3,634.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	7,253.00
618 · Property Tax	0.00	0.00	0.00	0.00	1,659.54	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1,659.54
619 · Building Maintenance	112.93	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	112.93
620 · Bookkeeping Services	1,012.50	1,200.00	768.75	1,087.50	0.00	825.00	0.00	0.00	0.00	0.00	0.00	0.00	4,893.75

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621 · County Assessment Fees	0.00	15.00	0.00	0.00	0.00	15.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	30.00
622 · County DTEch Fees for DLM	0.00	1,764.00	5,608.29	6,497.50	25,494.33	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	39,364.12
623 · Employee Morale/Wellness	88.40	915.87	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	1,004.27
Total Administrative	21,042.86	36,088.24	31,046.44	42,047.53	62,169.33	28,306.37	0.00	0.00	0.00	0.00	0.00	0.00	0.00	220,700.77

Special Projects Expenses	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 178	May 18	Jun 18	TOTAL
702 · Engineering/Survey Studies	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
703 · Encroachment Remediation	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
704 · Vegetation Management	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
705 · Small Capital Projects	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
707 · Levee Standards Complianc	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Special Projects	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Capital Outlay: Flood Control	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	TOTAL
700 · Bank Protection	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
701 · Magpie Creek	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
706 · Property Acquisition	0.00	7,593.18	0.00	1,118.80	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	8,711.98
709 · Equipment Purchase (> \$50k)	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Capital Outlay: Flood Control	0.00	7,593.18	0.00	1,118.80	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	8,711.98

Income	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	TOTAL
120 · Benefit Assessment	0.00	40,376.68	0.00	0.00	0.00	32,307.85	0.00	0.00	0.00	0.00	0.00	0.00	72,684.53
122 · SAFCA CAD4	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
123 · Interest	1,807.07	48.24	36.23	2,091.19	17.48	37.10	0.00	0.00	0.00	0.00	0.00	0.00	4,037.31
124 · O&M Agreements	0.00	0.00	0.00	0.00	0.00	245,528.40	0.00	0.00	0.00	0.00	0.00	0.00	245,528.40
126 · Miscellaneous Income	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Total Income	1,807.07	40,424.92	36.23	2,091.19	17.48	277,873.35	0.00	0.00	0.00	0.00	0.00	0.00	322,250.24

Fund Balance

District Operations Fund	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18
Beginning Balance	2,294,495.71	1,165,418.06	1,071,872.55	941,762.91	781,153.84	605,367.11	726,096.56	0.00	0.00	0.00	0.00	0.00
Income	1,807.07	40,424.92	36.23	2,091.19	17.48	277,873.35	0.00	0.00	0.00	0.00	0.00	0.00
Expenses	1,130,884.72	133,970.43	130,145.87	162,700.26	175,804.21	157,143.90	3,226.37	0.00	0.00	0.00	0.00	0.00
Ending Balance	1,165,418.06	1,071,872.55	941,762.91	781,153.84	605,367.11	726,096.56	722,870.19	0.00	0.00	0.00	0.00	0.00

Capital Outlay Reserve Fund	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18
Beginning Balance	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	0.00	0.00	0.00	0.00	0.00
Income	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Expenses	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	1,065,000.00	0.00	0.00	0.00	0.00	0.00

Retiree Health Benefit Reserve Fund	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18
Beginning Balance	1,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	0.00	0.00	0.00	0.00	0.00
Income	1,000,000.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Expenses	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	2,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	2,443,558.00	0.00	0.00	0.00	0.00	0.00

Flood Emergency Response Reserve Fund	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18
Beginning Balance	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	0.00	0.00	0.00	0.00	0.00
Income	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Expenses	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	0.00	0.00	0.00	0.00	0.00

Emergency Repair Reserve Fund	Jul 17	Aug 17	Sept 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18
Beginning Balance	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	0.00	0.00	0.00	0.00	0.00

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Item 5c

Income	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Expenses	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Ending Balance	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	1,500,000.00	0.00	0.00	0.00	0.00	0.00
Total Balance	7,673,976.06	7,580,430.55	7,450,320.91	7,289,711.84	7,113,925.11	7,234,654.56	7,231,428.19	0.00	0.00	0.00	0.00	0.00

Invoices Paid

	DATE	AMOUNT	CHECK #
Airgas (512 Shop Supplies)	12/11/17	\$58.97	6205
Battery Bill (511 Repair/Parts)	12/11/17	\$100.34	6206
Employee Relations, Inc (614 Miscellaneous Admin)	12/11/17	\$79.85	6207
KBA Docusys (527 General Office Expense)	12/11/17	\$60.98	6208
Muller & Associates, Inc (531 Technology & Software)	12/11/17	\$129.90	6209
Signs Now (514 Levee Maint Supplies)	12/11/17	\$494.57	6210
Quickbooks (Trustees)	12/15/17	\$16.25	EFT
Quickbooks (Employees)	12/15/17	\$26.00	EFT
HSA (614 Miscellaneous Admin)	12/15/17	\$2.95	EFT
HSA (Employee Paid)	12/15/17	\$150.00	EFT
Quickbooks (Employees)	12/28/17	\$29.25	EFT
HAS (Employee Paid)	12/27/17	\$150.00	EFT
City of Sacramento (515 Levee Maintenance Services)	1/9/18	\$1,531.00	6213
Sacramento Area Creeks Council (613 Community Services)	1/10/18	\$1,000.00	6214
Total		\$3,830.06	

Trustee Compensation

	DATE	GROSS	NET	CHK#
12/08/17 Board Meeting				
Holloway, Brian F	12/16/17	\$95.00	\$86.87	Direct Dep
Johns, Steven T	12/16/17	\$95.00	\$86.88	Direct Dep
Pavao, William J	12/16/17	\$95.00	\$86.88	Direct Dep
Redway, Bettina C	12/16/17	\$95.00	\$86.88	Direct Dep
Shah, Cyril A	12/16/17	\$95.00	\$86.88	Direct Dep
Total		\$475.00	\$434.39	

Trustee Taxes

	DATE	AMOUNT	CHK#
12/08/17 Board Meeting			
Federal Tax Payment	12/15/17	\$72.66	EFT
CA Withholding & SDI	12/15/17	\$4.28	EFT
CA UI & ETT	12/15/17	\$8.56	EFT
Total		\$85.50	

Payroll Summary

	DATE	GROSS	NET	CHK#
PP ending 12/15/17				
Malane Chapman	12/16/17	2946.24	1910.62	Direct Dep
Elvin Diaz	12/16/17	1998.48	1470.89	Direct Dep
David Diaz	12/16/17	2221.12	1577.48	Direct Dep
Gilberto Gutierrez	12/16/17	2493.04	1542.56	Direct Dep
Ross Kawamura	12/16/17	3784.00	2063.80	Direct Dep
Tim Kerr	12/16/17	6851.08	5287.34	Direct Dep
Erich Quiring	12/16/17	2221.12	1425.84	Direct Dep
Jose Ramirez	12/16/17	2493.05	1808.67	Direct Dep
PP ending 12/31/17				
Malane Chapman	12/29/17	2678.40	1745.57	Direct Dep
Elvin Diaz	12/29/17	1816.80	1343.74	Direct Dep
David Diaz	12/29/17	2019.20	1445.76	Direct Dep
Gilberto Gutierrez	12/29/17	2266.40	1418.32	Direct Dep
Ross Kawamura	12/29/17	3440.00	1818.83	Direct Dep
Tim Kerr	12/29/17	6851.08	5287.34	Direct Dep
Erich Quiring	12/29/17	2019.20	1314.96	Direct Dep
Jose Ramirez	12/29/17	2266.40	1655.66	Direct Dep
Zerimar Robles	12/29/17	1408.00	1132.41	Direct Dep
Total		\$48,365.61	\$34,249.79	

Employee & Relief GM Taxes

	DATE	AMOUNT	CHK#
PP ending 12/15/17			
Federal Tax Payment	12/16/17	\$5,836.14	EFT
CA Withholding & SDI	12/16/17	\$1,105.52	EFT
CA UI & ETT	12/16/17	\$0.00	EFT
PP ending 12/31/17			
Federal Tax Payment	1/1/18	\$2,740.00	EFT
CA Withholding & SDI	1/1/18	\$1,017.55	EFT
CA UI & ETT	1/1/18	\$25.35	EFT
Total		\$10,724.56	

Employee Pension

	DATE	AMOUNT	CHK#
PP ending 12/15/17			
PERS Retirement Contribution (Unfunded Liability)	12/16/17	\$3,226.37	EFT
PERS Retirement Contribution	12/16/17	\$3,717.84	EFT
457 Deferred Comp (Employee Paid)	12/16/17	\$1,868.96	EFT
457 District Contribution	12/16/17	\$80.00	EFT
PP ending 12/31/17			
PERS Retirement Contribution	1/1/18	\$3,476.87	EFT
457 Deferred Comp (Employee Paid)	1/1/18	\$1,834.96	EFT
457 District Contribution	1/1/18	\$80.00	EFT
Total		\$14,285.00	

Total of Invoices Paid and Payroll \$63,609.30

American River Flood Control District

Deferred Maintenance Program – Pipe Inspection Grants

Staff Report

Discussion:

The Board received a briefing on the State's Deferred Maintenance Program to inspect levee penetrations at their August 2017 meeting. A brief synopsis of the program is as follows:

The State of California Department of Water Resources initiated a grant program to help Local Maintaining Agencies pay for levee pipe inspections. The program intends to reimburse local levee maintainers after they have completed video pipe inspections of eligible gravity flow pipes. The program does not provide funding to inspect pressurized pipes. There may be future funding available to rehabilitate pipes where inspections have identified hazardous conditions.

The State indicated 47 pipes were found on the District levee system that are eligible for inspection cost reimbursement. Of these pipes, 22 were owned and operated by the City of Sacramento and 8 are owned and operated by the County of Sacramento. The remaining pipes are owned by CalTrans, are abandoned, or are yet to be identified.

The Board discussed the program in August and voiced the following priority (highest to lowest) for participating in the program:

1. The District should focus on pipes that are solely its responsibility
2. The District should encourage the City to inspect City owned pipes within the District
3. The District could consider being an intermediary between the State and City for the City to receive reimbursement for inspection costs

Upon conferring with the State and City, the State indicated that only the Local Maintaining Agency (LMA) could enter into a participation agreement with the State. The LMA could enter the agreement with the State to request reimbursement for sunk costs for inspections that occurred after execution of the agreement.

This means the City would need to inspect the pipes after the District entered the agreement with the State, then invoice the District for the inspection costs. The District would then need to pay the City to show sunk costs for the State reimbursement request. Then the State could provide reimbursement to the District.

The reimbursement amount available for inspection is \$1000 per pipe so the total reimbursement amount for City owned pipes would be \$22,000.

The funds for the State program expire at the end of June 2018. Many LMAs that have chosen to participate in the inspection program signed the State agreement in August 2017. As of December 2017, those agreements had not yet been approved by the State. It is unclear if the

District signs the agreement at this time, if it will be approved by the State in time to perform any inspections before the funds expire.

At this point in time, the District could:

1. Sign the agreement with optimism for timely approval and inspection reimbursement; or
2. Hold off on entering the agreement and seek to participate in a future program.

Recommendation:

The General Manager recommends that the Board of Trustees continue to work on inspecting District pipes, encourage pipe owners to inspect their pipes, and wait for a future pipe inspection to collaborate with the State for reimbursement.

Exhibit E
RESOLUTION ACCEPTING FUNDS

Resolution No. _____

Resolved by the **Board of Trustees** of the **American River Flood Control District** that pursuant and subject to all of the terms and provisions of the Control Section 6.10 of the Budget Act of 2016, that the funds awarded to **American River Flood Control District** by the California Department of Water Resources for a State-Federal Flood Control System Modification Program project titled: **DMP-2017-ARFCD-01** are hereby accepted.

The **General Manager** of the **American River Flood Control District** is hereby authorized and directed to sign a Project Agreement with the California Department of Water Resources and to sign requests for disbursements to be made under this Funding Agreement.

Passed and adopted at a regular meeting of the **Board of Trustees** of the **American River Flood Control District** on _____ 2017.



Authorized Signature _____

Printed Name _____

Title _____

Clerk/Secretary _____

STATE OF CALIFORNIA
THE RESOURCES AGENCY
DEPARTMENT OF WATER RESOURCES

AGREEMENT NUMBER: 2017-DMP- ARFCD-01

PROJECT AGREEMENT BETWEEN THE STATE OF CALIFORNIA
DEPARTMENT OF WATER RESOURCES
AND THE
AMERICAN RIVER FLOOD CONTROL DISTRICT (ARFCD)
FOR
DMP-2017- ARFCD-01

FUNDED UNDER THE
DEFERRED MAINTENANCE PROJECT
OF
CONTROL SECTION 6.10 OF THE BUDGET ACT OF 2016

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Exhibits

Exhibit A, OVERALL PROJECT WORK PLAN, BUDGET, AND SCHEDULE

Exhibit B, STANDARD CONDITIONS

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Exhibit D-1: STANDARD CONDITIONS

Exhibit D-2: RESOLUTION ACCEPTING STANDARD CONDITIONS

Exhibit E, RESOLUTION ACCEPTING FUNDS

Exhibit F, RESERVED

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Exhibit H, PROJECT OR ELEMENT/FEATURE CLOSEOUT

Exhibit I, STATE AUDIT DOCUMENT REQUIREMENTS AND FUNDING GUIDELINES FOR FUNDING RECIPIENTS

STATE OF CALIFORNIA
THE RESOURCES AGENCY
DEPARTMENT OF WATER RESOURCES
PROJECT AGREEMENT BETWEEN STATE OF CALIFORNIA
DEPARTMENT OF WATER RESOURCES AND
AMERICAN RIVER FLOOD CONTROL DISTRICT (ARFCD)
UNDER CONTROL SECTION 6.10 OF THE BUDGET ACT OF 2016
(Public Resources Code Sections 5096.800 *et seq.*)

THIS PROJECT AGREEMENT, entered into by and between the State of California, acting by and through the Department of Water Resources, herein referred to as the "State" and the **American River Flood Control District (ARFCD)**, a public agency in the County of **Sacramento**, State of California, duly organized, existing, and acting pursuant to the laws thereof, herein referred to as the "Funding Recipient," which parties do hereby agree as follows:

The terms listed below shall have the meaning indicated wherever used in this Project Agreement.

"Assurance Agreement" means the form of agreement between the Central Valley Flood Protection Board (CVFPB) and Funding Recipient for the provision of assurances to the CVFPB regarding the assumption of OMRR&R for the Project by Funding Recipient attached hereto as Exhibit D. Execution of the Assurance Agreement is a prerequisite to Phase II funding.

"Credit" means Funding Recipient expenditures toward Eligible Project Costs incurred prior to execution of a Project Agreement that are recognized by the State.

"Department" means the State of California Department of Water Resources.

"Eligible Project Costs" means the reasonable and necessary actual costs associated with the Project which are described in Paragraph 6, *to the extent* to which they are to be counted toward the Project Agreement Cost.

"Funding Recipient" means **American River Flood Control District**, a public agency in the State of California, duly organized, existing, and acting pursuant to the laws thereof, which is the signatory to this Project Agreement, and its successors and assigns.

"Implementation Procedures" means the procedures for the Deferred Maintenance Project (DMP) which govern (i) the process by which Department reviews and selects DMP repair projects to fund, and (ii) the resulting implementation process.

"Independent Review" means a review conducted, at the Department's discretion, of design and construction activities prior to the initiation of physical construction and periodically thereafter until construction activities are completed on a regular schedule sufficient to inform the Department on the adequacy, appropriateness, and acceptability of the design and construction activities for the purpose of assuring public health, safety, and welfare.

“Level of Protection” means the probability of flooding in any one year. It is expressed as 1 in x annual chance of flooding (e.g., 1 in 50 annual chance of flooding is a 50-year level of protection.”). This term is different than “Design Level of Performance” which deals with the performance level of the facility at issue based on the original intended design.

“Maintenance” means routine vegetation management, rodent control, sediment removal and mechanical service.

“Maintenance Costs” means the costs of OMRR&R.

“Material Breach” means failure of performance under the Project Agreement sufficient to defeat the purpose of the parties in entering into the Project Agreement and giving the non-breaching party the right to cancel the Project Agreement.

“OMRR&R” means operation, maintenance, repair, rehabilitation and replacement of the Project, Project Element(s) or Project Feature(s).

“Operations” means labor, facilities, inspections, and emergency response activities.

“Overall Work Plan” means the plan described in Paragraph 22(a) and Exhibit A-1.

“Post Construction Performance Reports” means the reports required by Paragraph 22(e) and further provided in the Assurance Agreement.

“Pre-Feasibility Cost Estimate Report” means a report prepared by Department for each DMP Project that provides: a description of the levee area; an identification of critical and serious sites; an evaluation of pipe repair alternatives and the preferred alternative; anticipated environmental compliance, regulatory, and real-estate needs; a pre-feasibility cost estimate for the preferred repair. A copy of the Pre-Feasibility Cost Estimate Report is provided as an attachment to the Eligibility Notice.

“Phase I” means the inspection(s) or evaluation(s) of pipes within SPFC facilities as further described in the Overall Work Plan developed for this Project Agreement and attached hereto as Exhibit A.

“Phase II” means the pipe repair, rehabilitation, replacement, abandonment, or removal work approved by Department following completion of Phase I as further described in the Overall Work Plan developed for this Project Agreement and attached hereto as Exhibit A, as the same may be amended from time to time.

“Project” means the project, including Phase 1 and Phase II, described in the Overall Work Plan.

“Project Completion Report” means the report required by Paragraph 22(d) and further described in Exhibit H.

“Project Costs” means the total cost of a Project, including Eligible Project Costs.

“Project Element” or “Element” means a discrete portion of a Project identified as such in the Overall Work Plan (e.g. a pipe or group of pipes to be repaired or replaced and identified as a “project element” in the Overall Work Plan). These are not specific parts of the design-build process; rather, they are discrete physical portions of the actual construction.

“Project Feature” or “Feature” means a discrete portion of a Project Element identified as such in the Overall Work Plan. These are not specific parts of the design-build process; rather, they are discrete physical portions of the actual construction.

“Quarterly Progress Reports” means the reports required by Paragraph 22(c) and further described in Exhibit C.

“Quarterly Work Plans” means the reports required by Paragraph 22(b) and further described in Exhibit C.

“Rehabilitation” means to restore a Project, Project Element or Project Feature by way of minor or major repairs.

“Repair” means to fix or mend a Project, Project Element or Project Feature.

“Replacement” means replacement of Project, Project Element or Project Feature at end of life or after catastrophic failure.

“State” means the State of California, acting by and through the Department of Water Resources.

“State Program Manager” means a representative for the State who will have authority to make determinations and findings with respect to each controversy arising under or in connections with the interpretation, performance, or payment for work performed under the Project Agreement. The State Program Manager may appoint a State Project Manager to handle most project management-related tasks.

“State Project Manager” means a representative for the State who will receive all notices, demands, requests, consents, or approvals that are required under the Project Agreement to be in writing. The State Project Manager is appointed by the State Program Manager and can be changed by the State Program Manager upon written notice to all parties to this agreement.

“Statement of Costs” means a statement of incurred costs submitted pursuant to Paragraph 15.

“Project Agreement Cost” means the portion of the Project cost that is to be shared between the Department and the Funding Recipient. The costs contributed by other entities or programs are not included in the Project Agreement Cost.

“USACE” means the United States Army Corps of Engineers.

“Useful Life” means the period during which an asset, property, or activity is expected to be usable for the purpose it was acquired or implemented.

1. **PURPOSE OF FUNDING.** This funding is made available by State to Funding Recipient to assist in financing the Deferred Maintenance Project more specifically described in the Overall Work Plan pursuant to Control Section 6.10 of the Budget Act of 2016. Funds may be used only as provided in this Project Agreement for Eligible Project Costs for the Project described in the Overall Work Plan. Funding under this Project Agreement will be provided in two Phases. Phase 1 funds will be made available upon the execution of this agreement and satisfaction of applicable prerequisites described elsewhere in this Project Agreement. Phase II funds will be made available for pipes located on SPFC facilities and only upon (i) completion of Phase I, (ii) review and approval of all Phase I work by DWR, and (iii) satisfaction of applicable prerequisites describe elsewhere in this Project Agreement, including (a) execution of an amendment to this Project Agreement describing Phase II costs and (b) execution of an Assurance Agreement between Funding Recipient and the CVFPB. Funding for all Phases is contingent on funding being made available to Department in accordance with Control Section 6.10 of the Budget Act of 2016.
2. **TERM OF PROJECT AGREEMENT.** The term of the Project Agreement shall be from the latest date of execution by the Department of Water Resources and approval by the Department of General Services through **December 31, 2021** or when all Funding Recipient and Department obligations under this Project Agreement are fully satisfied, whichever comes first.

3. PROJECT SCHEDULE. Funding Recipient shall diligently perform or cause to be performed all project work in accordance with the Project Schedule as shown in Exhibit A-1-B or as otherwise approved by the State in writing. If Funding Recipient does not meet the Project Schedule provided in Exhibit A-1-B, the State reserves the right to withhold funds as provided in Paragraphs 17-19 of this Agreement.
4. ESTIMATED PROJECT COST. The reasonable cost of Phase I of the Project is estimated to be **\$520,560.00**. The Reasonable cost of Phase II of the Project will be determined prior to initiation of Phase II. If State determines funding is available for Phase II and the Parties agree to proceed with Phase II, this agreement may require amendment.
5. LIMIT ON STATE FUNDS. Pursuant to Section 6.10 of the Budget Act of 2016 and subject to the availability of funds, including any mandates from the Department of Finance, the Pooled Money Investment Board ("PMIB") or any other State authority, the State will provide to Funding Recipient in accordance with the terms of this Project Agreement funding in the amount not to exceed **\$520,560.00**, except as provided in Paragraph 29. The State will not make payments of any kind -- advances or reimbursements -- until funding is made available by the State Treasurer, after allocation decisions are made by the PMIB and Department of Finance. Funding recipients will only be entitled to State funds for Eligible Project Costs, as defined in Paragraph 6, and the funding provisions in Paragraph 7. The State may, without requiring an Amendment to this Project Agreement, increase or decrease this amount only as provided for in Paragraph 29.
6. ELIGIBLE PROJECT COSTS. Funding Recipient shall only apply State funds for Eligible Project Costs. Except as otherwise provided in Paragraph 14(b), Eligible Project Costs are the reasonable and necessary actual costs associated with an eligible Project incurred after the LMA has passed the resolution accepting the funds Exhibit E, , and returned the signed Project Agreement to DWR. The Implementation Procedures provide a summary of the costs which are considered eligible or non-eligible project costs.
7. COST SHARING BY THE STATE AND FUNDING RECIPIENT. The State will pay one hundred percent (100%) of Eligible Project Costs for each Phase. Funding Recipient will be responsible for all costs that are not Eligible Project Costs.
8. RESERVED.
9. FUNDING RECIPIENT'S RESPONSIBILITY FOR WORK. Funding Recipient shall be responsible for work and for persons or entities engaged in work, including subcontractors, suppliers, and providers of services. Funding Recipient shall give personal supervision to any work required under this Project Agreement or employ a competent representative, satisfactory to State, with the authority to act for Funding Recipient. Funding Recipient or its authorized representative shall be present while work is in progress. Funding Recipient shall give attention to fulfillment of the Project Agreement and completion of the Project, and shall keep work under control. Funding Recipient shall be responsible for any and all disputes arising out of its contracts for work on the Project to bid disputes and payment disputes with Funding Recipient's contractors and subcontractors. State will not mediate disputes between Funding Recipient and any other entity concerning responsibility for performance of work.
10. RELATIONSHIP OF PARTIES. Upon execution of this Project Agreement, Funding Recipient agrees that it is acting in an independent capacity and is solely responsible for design, construction, and (except as otherwise provided by Paragraph 24 if applicable) OMRR&R of the Project, Project Element(s) and Project Feature(s) constructed, repaired, rehabilitated or replaced with funds provided under this Project Agreement. Review or approval of plans, specifications, Project Real Estate Plan, bid documents or other construction documents, and construction inspection by the State is solely for the purpose of proper administration of funds by State and shall not be deemed to relieve or restrict Funding Recipient's responsibility.

Preliminary documents provided by the State as part of the Notice of Eligibility or Project Agreement negotiations, including the Pre-Feasibility Cost Estimate Report, and any communication provided by the

State regarding those documents, are provided solely for the purpose of defining the Overall Work Plan as provided in Attachment A and shall not be deemed to relieve or restrict Funding Recipient's responsibility for design, construction, and OMRR&R. The Funding Recipient's costs for the technical review of, and for assisting State in the development of, the Overall Work Plan and supporting documents, shall be considered Eligible Project Costs contingent upon State's acceptance of those costs as reasonable and execution of this Project Agreement.

11. PERFORMANCE AND ASSURANCES. Funding Recipient agrees to faithfully and expeditiously perform or cause to be performed all Project work as described in the final plans and specifications under this Project Agreement and to apply State funds received only to Eligible Project Costs and to OMRR&R in accordance with applicable provisions of the law.
12. REQUIREMENTS FOR DISBURSEMENT. Funding Recipient shall meet all conditions precedent, defined in subparagraphs a – f below, before State shall be obligated to disburse any funds pursuant to this Project Agreement. Failure by Funding Recipient to comply may, at the option of State, result in termination of the Project Agreement. State shall have no obligation to disburse money under this Project Agreement unless and until the disbursement is in accordance with requirements of the Control Section 6.10 of the Budget Act of 2016. The following are conditions precedent to funding for Phases I and II unless otherwise noted:
 - a) Funding Recipient has executed this Project Agreement and provided a copy of a resolution duly adopted by its governing body accepting the Funds, and designated an authorized representative to execute this Project Agreement and to sign requests for disbursement of State funds. The resolution must be substantially the same as the draft resolution provided in Exhibit E to this Project Agreement.
 - b) For phase II only, Funding Recipient has executed an Assurance Agreement by and between Funding Recipient and the CVFPB in substantially the form attached hereto as Exhibit D as provided for in Paragraph 24 of this Project Agreement.
 - c) Funding Recipient has demonstrated compliance with (i) all applicable requirements of CEQA and NEPA and submitted copies of any environmental documents (including, but not limited to, any environmental impact report(s), environmental impact statement(s), environmental assessment(s), negative declaration(s), CEQA findings, Project approvals and permits, and mitigation monitoring plan(s), as appropriate); and (ii) all other applicable state and federal environmental requirements (including, but not limited to requirements under the federal Clean Water Act, the federal Endangered Species Act and the California Fish & Game Code) and submitted copies of the appropriate environmental permits, authorizations and agreements.

In addition to the requirement that the Funding Recipient demonstrate completion of all required environmental documents, the Department may not issue the approval letter required for combined design and construction projects (Phase II only) under Paragraph 13 of this agreement until Funding Recipient has completed its environmental work and issued a notice of decision in connection with the Project Element, Project Feature or Project for which the approval letter has been requested.
 - d) Funding Recipient has timely submitted Quarterly Work Plans and Progress Reports as required by Paragraph 22.
 - e) The necessary funding has been made available by the State Treasurer, after allocation decisions are made by the Pooled Money Investment Board and the Department of Finance, as discussed above in Paragraph 5.
13. ADVANCE WORK APPROVALS BY STATE. For Phase II only, at least forty-five days prior to awarding a construction contract or initiating construction, whichever is earlier, for any Project, Project Element, or

Project Feature, Funding Recipient shall submit to State engineering plans and specifications certified by a California Registered Civil Engineer as to compliance with the approved Project as defined in Paragraph 22. No disbursements of funds for the work described will be made until the State has approved the engineering plans and specifications.

Except for the first Quarterly Work Plan, at least forty-five days prior to disbursement of funds by State, the Funding Recipient shall submit a Quarterly Work Plan in accordance with Paragraph 22. No disbursement of funds for the work described in a Quarterly Work Plan will be made until the State has approved the Quarterly Work Plan.

If the Overall Work Plan includes design and construction work, such work may be completed in phases. The Funding Recipient may begin design work before its environmental documents are complete, but may not begin the construction portion of the approved Project until all environmental work for the Project Element or Project Feature has concluded. An Overall Work Plan that contains both design and construction work has an additional, mid-Project, State approval requirement; when the project work transitions from design to construction, the Department must confirm, in writing, that the Project is eligible to move forward into construction. In circumstances where one particular Project Element or Project Feature is ready to begin construction, this approval letter may be issued, but only for the Project Element(s) or Project Feature(s) that are ready. An additional approval letter will be required from the Department for each subsequent Project Element or Project Feature. As described further in Paragraph 12(c) of this agreement, this approval letter may not be issued if the Funding Recipient has not completed all necessary environmental work for the Project Element or Project Feature.

14. PAYMENTS AND CREDITS FOR ELIGIBLE PROJECT COSTS. Eligible Project Costs will be paid by the State in accordance with the provisions in Paragraph 7 and according to one or more of the following methods:
- a) For all Eligible Project Costs, work will be divided into two categories: non-construction and construction. The Funding Recipient shall provide a Statement of Costs detailing such costs in accordance with the applicable provisions of Paragraph 15. The Statement of Costs shall be submitted within 45 days of the effective date of this Project Agreement.
15. STATEMENT OF COSTS. The Funding Recipient shall provide State with a Statement of Costs or Statements of Cost, on forms provided by the State for all Eligible Project Costs.
- a) Statements of Costs shall be filed by the Funding Recipient quarterly or as otherwise specified in this paragraph. Funding Recipient shall provide a statement of the incurred Eligible Project Costs for work performed during the period identified in the particular statement. Each Statement of Costs shall also include: (1) information required to verify that claimed costs were incurred, such as contractor and vendor invoices and receipts for equipment and supplies; (2) a statement of Funding Recipient's payments made to cover its share of Eligible Project Costs, if applicable; and (3) a comparison of the actual incurred Eligible Project Costs with those projected in the Quarterly Work Plans and an explanation of any differences of more than five percent (5%) per task or item from the estimate included in the Quarterly Work Plan budget.
 - b) The State will review each Quarterly Work Plan and each Statement of Costs to determine whether claimed costs are, in the opinion of the State, Eligible Project Costs and whether the Funding Recipient has provided adequate information to verify that claimed expenses were incurred.
 - c) State may reject a Statement of Costs if: (1) it is submitted without signature; (2) it is submitted under signature of a person other than Funding Recipient's Program or Project Manager; or (3) Funding Recipient fails to timely submit a Final Statement of Costs within the time period specified in Paragraph 15(g). State will notify Funding Recipient of any Statement of Costs so rejected, and the reasons therefore.

- d) A Statement of Costs containing a mathematical error will be corrected by State, after consultation with the Funding Recipient; and will thereafter be treated as if submitted in the corrected amount. State will provide Funding Recipient with notification of the corrected Statement of Costs.
- e) State will notify Funding Recipient by mail, whenever, upon review of a Statement of Costs, State determines that any portion or portions of the costs claimed: (1) are ineligible to be paid under Federal or State law, or the terms of this Project Agreement; (2) do not constitute Eligible Project Costs approved by State for funding under the terms of this Project Agreement; or (3) are not supported by invoices or receipts acceptable to State. Funding Recipient may, within thirty (30) days of the date of receipt of such notice, submit additional documentation to State to cure such deficiency(ies). State and Funding Recipient shall then attempt to negotiate a resolution of the claim and adjust the Statement of Costs accordingly. Funding Recipient may continue to submit additional documentation in support of rejected cost(s) and may include such cost(s) with additional supporting documentation on a subsequent Statement of Costs. If the claim remains disputed, it may be resolved in accordance with the dispute resolution process set forth in Paragraph 20. If Funding Recipient fails to timely submit adequate documentation curing the deficiency(ies), State will adjust the pending Statement of Costs by the amount of the ineligible and/or unapproved cost(s). The requirements for close-out of a Project, Element, or Feature are provided in Exhibit H. A Project, Project Element, or Project Feature will be considered completed when the Funding Recipient has provided the information specified in Exhibit H to the satisfaction of the State.

Upon completion or termination of the Project or any Project Element or Project Feature, Funding Recipient shall furnish to State, within sixty (60) days, a Final Statement of Costs for the Project, Project Element, or Project Feature. Periodic cost statements and the Final Statement of Costs shall clearly delineate those costs claimed for reimbursement from the State's funding amount, as provided in Paragraph 5, and those costs that represent Funding Recipient's costs, as provided in Paragraph 6.

- f) All Statements of Costs shall be accompanied by a statement signed by the Funding Recipient's Program or Project Manager that the statement is correct to the best of his or her knowledge and belief after a reasonable investigation. The signed statement shall be submitted under penalty of perjury.
 - g) At the sole discretion of the State, the State may modify the requirements for preparation and submittal of Statements of Costs in order to improve administration of the State-Federal Flood Control System Modification Program or ensure compliance with the Governor's Executive Order on accountability for bond funds, Executive Order S-02-07, or other legal requirements. If the State opts to modify the requirements, it shall notify Funding Recipient in writing of the change(s).
16. DISBURSEMENT. Following the review of each invoice, State will disburse to Funding Recipient the amount approved, subject to the availability of funds through normal State processes and to provisions as specified in this Project Agreement. Notwithstanding any other provision of this Project Agreement, no disbursement shall be required at any time or in any manner which is in violation of, or in conflict with, federal or state laws, rules, or regulations, or which may require any rebates to the federal government, or any loss of tax-free status on State bonds, pursuant to any federal statute or regulation. Any and all money disbursed to Funding Recipient under this Project Agreement and any and all interest earned by Funding Recipient on such money shall be used solely to pay Eligible Project Costs.
17. WITHHOLDING OF FUNDING DISBURSEMENT BY STATE. From each disbursement of funds for Eligible Project Costs, with the exception of funds disbursed for Real Estate Capital Outlay Costs, the State shall withhold five percent (5%) of the State share until the Project Element of the Project for which the payment is made is completed or, if the work on a particular Project Element is further divided into Project Features, until the work on a Project Feature is completed and, with respect to Phase II work, the Funding Recipient has executed an Assurance Agreement between CVFPB and the Funding Recipient (Exhibit D). A Project, Project Element, or Project Feature shall not be considered completed until the requirements of Exhibit H have been met to the satisfaction of the State. Among these requirements are: (1) the work on such

Project, Project Element, or Project Feature has been completed to the State's satisfaction; (2) a Final Statement of Costs has been submitted for Eligible Project Costs for the Project, Project Element, or Project Feature; (3) as-built drawings satisfactory to the State have been submitted to the State; and (4) for a Project, Project Element, or Project Feature, Funding Recipient provides a certification of a Registered Civil Engineer that that portion of the Project has been built in compliance with the plans approved by the State pursuant to Paragraph 13.

If State determines that the Project is not being constructed substantially in accordance with the provisions of this Project Agreement, or that Funding Recipient has failed in any other respect to comply substantially with the provisions of this Project Agreement, and if Funding Recipient does not remedy any such failure to State's satisfaction, State may withhold from Funding Recipient all or any portion of the funding commitment and take any other action that it deems necessary to protect its interests. If the Funding Recipient must remedy a failure to comply, and the remedy increases Eligible Project Costs, the State may disallow payment of the State's share of the increase in Eligible Project Costs.

The Funding Recipient may request the early release of funds withheld pursuant to this provision in accordance with the requirements set forth in Exhibit G of this Project Agreement.

18. WITHHOLDING THE BALANCE OF FUNDING AMOUNT. Where a portion of the Funding Commitment has been disbursed to Funding Recipient and State notifies Funding Recipient of its decision not to release the balance of the funds withheld pursuant to Paragraph 17 (other than requests for early release of funds made by the Funding Recipient pursuant to Exhibit G), that portion that has been disbursed shall be repaid within 60 days with interest at the California general obligation bond interest rate with interest beginning to accrue at the time the State notifies the Funding Recipient of its decision. Refusal of Funding Recipient to repay within 60 days may, at the option of State, be considered a material breach of this Agreement and treated as default under Paragraph 20.

19. WITHHOLDING THE ENTIRE FUNDING AMOUNT. If State notifies Funding Recipient of its decision to withhold the entire funding amount pursuant to Paragraph 17, this Project Agreement shall terminate and the State shall no longer be required to provide funds under this Project Agreement.

20. DEFAULT PROVISIONS AND DISPUTE RESOLUTION.

a) Events of Default. Funding Recipient will be in default under this Project Agreement if any of the following occur:

- 1) Material breach of this Project Agreement, including any supplement or amendment to it, or any other agreement between Funding Recipient and State evidencing or securing Funding Recipient's obligations;
- 2) Making any false warranty, representation, or statement with respect to this Project Agreement or the application filed to obtain this Project Agreement; or
- 3) Failure to make any remittance required by this Project Agreement.

b) Consequences of Default. Should an event of default occur, State shall provide a notice of default to the Funding Recipient. If the Funding Recipient fails to cure the default within the time prescribed by the State, which shall be no less than 10 days from the notice of default, State may do any or all of the following:

- 1) Cancel the Project Agreement.
- 2) Complete the Project using its own resources.

- 3) Contract with the current or any other contractor to complete the Project.
- 4) Require that the Funding Recipient return all or a portion of state funds, with interest at the State Surplus Money Investment Fund rate at the time of default, accruing from the date the funds were provided.

c) Dispute Resolution.

Any claim that Funding Recipient may have regarding the performance of this Project Agreement, including but not limited to claims for an extension of time, shall be submitted in writing to the Program Manager at the Department of Water Resources, within thirty (30) calendar days of Funding Recipient's knowledge of the claim. State and Funding Recipient shall then attempt to negotiate a good faith resolution of such claim and process an Amendment to the Project Agreement to implement the terms of any such resolution, if deemed necessary by the parties.

Before either party to this Project Agreement may bring suit in any court concerning an issue relating to this Project Agreement, that party must first seek in good faith to resolve the issue through negotiation or other forms of nonbinding alternative dispute resolution mutually acceptable to the parties. Any costs of dispute resolution shall be shared evenly by the parties. Except as specifically provided in this Project Agreement, the existence of a dispute shall not excuse the parties from performance pursuant to this Project Agreement.

In the event State finds it necessary to enforce any provision of this Project Agreement in a court of law, Funding Recipient agrees to pay all costs incurred by State including, but not limited to, reasonable attorneys' fees, legal expenses, and costs.

21. RESERVED.

22. SUBMISSION OF INFORMATION BY THE FUNDING RECIPIENT.

- a) Overall Work Plans: The forms of Overall Work Plan, Budget, and Schedule for the Project are included as Exhibit A to this Project Agreement.
- b) Quarterly Work Plans: The Funding Recipient shall submit Quarterly Work Plans consistent with the Overall Work Plan for the term of this Project Agreement. Within seven (7) days of the effective date of this Project Agreement, the Funding Recipient shall submit its first Quarterly Work Plan for the time period between the effective date of the Project Agreement and the end of that calendar quarter and then quarterly thereafter. Each Quarterly Work Plan will include detailed information regarding the work to be performed during the quarter, the projected budget for this work (broken down to show individual items and tasks), and the expected monthly schedule. Except for the first Quarterly Work Plan, the Funding Recipient will submit Quarterly Work Plans at least forty-five days before the work covered by the plan is scheduled to begin. Exhibit C, Quarterly Work Plan and Report Formats, provides an example template for the Quarterly Work Plan.
- c) Quarterly Progress Reports: Funding Recipient shall submit progress reports on the status of the Project to State. Progress reports shall be filed quarterly. No later than 60 days after the time period covered by a Quarterly Work Plan, the Funding Recipient shall submit a Quarterly Progress Report for the time period covered by the Quarterly Work Plan. The submittal and approval of these reports is a requirement for continued disbursement of State funds. Quarterly Progress reports shall summarize the work completed during the reporting period, include a statement of construction progress compared to the Project schedule, and provide a comparison of costs to date compared to the approved scope of work and Project budget as well as evidence the Funding Recipient will have sufficient funds to pay its share of the Eligible Project Costs required to complete the Project. The reports shall include total interest earned to date on State funds, and any lease credits due to the State from lease agreements, if any. Exhibit C,

Quarterly Work Plan and Report Formats, provides an example report template. The Funding Recipient may request in writing that the State grant permission to combine the Quarterly Progress Report required by this paragraph with other reports required by this Project Agreement and the State may, at its sole discretion, approve such a request.

- d) Project Completion Report: Funding Recipient shall submit a Project Completion Report within ninety (90) calendar days of completion of all tasks associated with the Project. The Final Project Report shall include a description of actual work done, a final schedule showing actual progress versus planned progress, copies of any final documents or reports generated or utilized during the Project and three sets of as-built drawings. The Project Completion Report shall also include certification of final Project by a Registered Civil Engineer, consistent with Exhibit B, Paragraph B-8 of this Project Agreement. Exhibit H, provides further information regarding what the report is to contain.
- e) Reserved.
- f) Reserved.
- g) Compliance with Executive Order S-02-07: At the sole discretion of the State, the State may modify the requirements for preparation and submittal of work plans and reports called for in this Project Agreement in order to improve administration of the DMP or ensure compliance with the Governor's Executive Order on accountability for bond funds, Executive Order S-02-07, or other legal requirements.
- h) Flood Risk Resolution: Funding Recipient has acknowledged the current Level of Protection and flood risk through a resolution or resolutions adopted and signed by the governing bodies of all affected cities or counties and other agencies with flood management responsibilities located in the areas protected by their proposed projects. Funding Recipient has provided copies of the resolution or resolutions to the State. The Funding Recipient acknowledges that each resolution provides that any subsequent resolutions that would modify or rescind the resolution must be first approved by the State. Funding Recipient agrees that it shall provide any subsequent resolution for approval by the State no less than thirty (30) days before the resolution is acted upon by the governing body of the affected city or county or other agency with flood management responsibilities. State agrees that it shall not unreasonably withhold approval of a resolution acknowledging flood risk.

23. RESERVED.

24. OPERATION, MAINTENANCE, REPAIR, REHABILITATION AND REPLACEMENT (PHASE II ONLY). All provisions of this section 24 will apply if Phase II work is to be undertaken by Funding Recipient. If no Phase II work is to be undertaken by Funding recipient this section shall have no force or effect. Prior to requesting funds for Phase II work, Funding Recipient agrees that it will execute an Assurance Agreement with CVFPB or a successor thereto, in substantially the form of Exhibit D to this Project Agreement, which sets forth the obligations of the Funding Recipient to do the OMRR&R work for Phase II of the Project. Phase II funding is contingent upon execution of an Assurance Agreement by Funding Recipient. Refusal of Funding Recipient to execute an Assurance Agreement in substantially the form of Exhibit D prior to requesting funding for Phase II, or failure to do the OMRR&R work in accordance with the Assurance Agreement may, at the option of State, be considered a breach of this Project Agreement and may be treated as default under Paragraph 20.

If the Funding Recipient is not currently the entity responsible for OMRR&R of the associated federally authorized project, the Funding Recipient may, with the prior written approval of Department, satisfy the requirement to execute an Assurance Agreement by providing to Department evidence satisfactory to the Department that the entity(ies) currently responsible for OMRR&R of the associated federally authorized project has executed an Assurance Agreement for Phase II work in substantially the form of Exhibit D of this Project Agreement. Department's decision to accept satisfaction of the Assurance Agreement requirement of this Project Agreement by a local agency(ies) other than Funding Recipient shall be made

in Department's sole discretion and shall be based upon, among other things, demonstration that such local agency(ies) have satisfactorily performed existing OMRR&R duties.

- 25 PERMITS, LICENSES, APPROVALS, AND LEGAL OBLIGATIONS. Funding Recipient shall be responsible for obtaining any and all permits, licenses, and approvals required for performing any work under this Project Agreement, including those necessary to perform design, construction, or OMRR&R for the Project. Funding Recipient shall be responsible for observing and complying with all applicable federal, state and local laws, rules or regulations affecting any such work, specifically those including environmental, procurement and safety laws, rules, regulations, and ordinances. Upon request by State, Funding Recipient shall provide copies of permits and approvals.

Without limiting the foregoing, Funding Recipient will be required to keep informed of and take all measures necessary to ensure compliance with applicable California Labor Code requirements, including Section 1720 *et seq.* of the California Labor Code regarding public works, limitations on use of volunteer labor (California Labor Code Section 1720.4), labor compliance programs (California Labor Code Section 1771.5) and payment of prevailing wages for work done and funded pursuant to this agreement, including any payments to the Department of Industrial Relations under Labor Code Section 1771.3.

- 26 PROGRAM AND PROJECT MANAGERS. Either party may change its Program or Project Manager upon written notice to the other party.
1. The State Program Manager shall be the Chief, Division of Flood Management, Department of Water Resources. State Program Manager shall be State's representative and shall have the authority to make determinations and findings with respect to each controversy arising under or in connection with the interpretation, performance, or payment of work performed under the Project Agreement. The State Program Manager may delegate any task to the State Project Manager. Correspondence to the State Program Manager will be directed to:

Mr. Mark R. List
DMP Program Manager
Department of Water Resources
P.O. Box 219000
Sacramento, CA 95821-9000
(916) 574-0319
Mark.List@water.ca.gov

2. The Funding Recipient's Program Manager shall be **General Manager**. Funding Recipient's Program Manager shall be the Agency's representative for the administration of the Project Agreement and shall have full authority to act on behalf of the Agency, including authority to execute all payment requests. The Funding Recipient's Program Manager may delegate tasks to the Funding Recipient's Project Manager. Correspondence to the Funding Recipient's Program Manager will be directed to:



- 27 NOTICES. Any notice, demand, request, consent, or approval that either party desires or is required to give to the other party under this Project Agreement shall be in writing to Project Manager. Notices may be sent by any of the following means: (i) by delivery in person; (ii) by certified U.S. mail, postage prepaid; (iii) by "overnight" delivery service; provided that next-business-day delivery is requested by the sender; or (iv) by electronic means followed by submittal of a hard copy. Notices delivered in person will be deemed

effective immediately on receipt (or refusal of delivery or receipt). Notices sent by U.S. mail will be deemed effective five (5) business days after the date deposited with the U.S. Postal Service. Notices sent by overnight delivery service will be deemed effective one business day after the date deposited with the delivery service. Notices sent by electronic means will be effective on the date of successful transmission, which is documented in writing. Either party may, by written notice to the other, change its Program or Project Manager or designate a different address that shall be substituted for the one identified in Paragraph 26.

28 INCORPORATION OF EXHIBITS. This Project Agreement incorporates:

Exhibit A, Overall Project Work Plan, Budget, and Schedule
Exhibit B, Standard Conditions
Exhibit C, Quarterly Work Plan and Report Formats
Exhibit D, Operation and Maintenance Agreement
Exhibit D-1, Standard Conditions
Exhibit, D-2 Resolution Accepting Standard Conditions Template
Exhibit E, Resolution Accepting Funds Template
Exhibit F, Reserved
Exhibit G, Early Partial Release of Certain Withheld Funds
Exhibit H, Project or Element/Feature Closeout
Exhibit I, State Audit Document Requirements and Funding Guidelines for Funding Recipients

29 MODIFICATION OF OVERALL WORK PLAN. After the Project Agreement is executed, Department will consider approving or requiring changes to the work plan due to circumstances that were not reasonably foreseeable at the time the Project Agreement was executed. Department will allow non-material changes to be made to the work plan without formally amending the Project Agreement. Non-material changes include:

- Changes to the design plans if, at the sole discretion of Department, Department determines changes will improve the project design and will not result in a budget revision or an increase in the overall schedule beyond the term of the Project Agreement.
- Changes to portions of the work plan concerning budget that would not result in an increase to the state's funding commitment.
- Changes to the work plan's project schedule that do not extend the term of the Project Agreement.

If the Funding Recipient and the State agree to a material change with respect to the Overall Work Plan that decreases the Project cost there shall be proportionate reduction in the maximum amount payable by the State.

If the State Program Manager approves a material change pursuant to the provisions of this paragraph, the Funding Recipient shall include information regarding the material change in the reports required by this Project Agreement. Within a reasonable time after the material change is approved, the State and the Funding Recipient shall also formally amend this Project Agreement to reflect the material change.

30 RESERVED.

31 RESERVED.

32 FUNDING RECIPIENT COMMITMENTS. Funding Recipient accepts and agrees to comply with all terms, provisions, conditions, and commitments of this Project Agreement, including all incorporated documents,

and to fulfill all assurances, declarations, representations, and statements made by Funding Recipient in the application, documents, amendments, and communications filed in support of its request for financing.

IN WITNESS WHEREOF, the parties hereto have executed this Project Agreement as of _____, 2017.

**State of California
Department of Water Resources**

By_____

Name Eric Koch

Title Chief, Division of Flood Management

Date_____

Approved as to Legal Form
And Sufficiency

By_____

Name Robin E. Brewer

Title Asst. Chief Counsel

Date_____

American River Flood Control District

By_____

Name_____

Title_____

Date_____

Approved as to Legal Form
And Sufficiency

By_____

Name_____

Title_____

Date_____

Exhibit A
OVERALL PROJECT WORK PLAN, BUDGET, SCHEDULE, AND INSPECTION
QUALIFICATIONS AND SPECIFICATIONS

The Overall Work Plan is organized as follows:

ARTICLE A-1. OVERALL PROJECT WORK PLAN

ARTICLE A-1-A. OVERALL PROJECT BUDGET

ARTICLE A-1-B. OVERALL PROJECT SCHEDULE

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS

ARTICLE A-1. OVERALL PROJECT WORK PLAN

General Description:

Deferred Maintenance Project includes inspection and repair of levee penetrations based on a two phase approach. The funding recipient (American River Flood Control District) is the Project lead under DWR oversight. Under Phase-I, the funding recipient (ARFCD) will evaluate the identified levee penetrations using video inspections and submit results to DWR. DWR will review the phase-I deliverables and prepare a Pipe Rehabilitation Plan (PRP) for the respective leveed area(s), which will include a preferred rehabilitation alternative(s) and preliminary cost-estimate(s). Upon execution of an Assurance Agreement between American River Flood Control District (ARFCD) and the Central Valley Flood Protection Board, DWR will issue a notice to proceed to ARFCD for the Phase -II work. Under Phase -II, the funding recipient will implement remedial actions identified in the PRP for the levee penetrations falling under funding recipient's jurisdiction.

Phase -I Evaluation of Levee Penetrations:

Under the phase-1 work, for the levee penetrations listed in table A-1, the following tasks shall be performed:

- Provide access for video equipment
- Clean and prepare the pipe for video inspection
- Perform video inspection fully compliant to the National Association of Sewer Service Companies (NASSCO), Pipeline Assessment Certification Program (PACP), version 7.02 or later, by a NASSCO PACP certified professional with a minimum three years of experience, in lead position, performing CCTV inspection, evaluation, and rating of pipes per NASSCO PACP.
- Rate the pipe internal condition fully compliant to NASSCO PACP Version 7.02 or later

Deliverables Phase - I:

In addition to the Quarterly Work Plans, Progress Reports, and Statement of Costs with back up invoices from subcontractors for all reimbursement requests as indicated in the Project Agreement following items must be submitted to DWR for Phase-I work:

1. Pipe inspection videos (MP4 format and original format)
2. Pipe internal condition rating reports in electronic formats (PDF and native format)
3. Submit video inspection reports pdf and two hard copies (Results and all electronic data such as still pictures, defect codes, stationing logs, gps coordinates, etc.)

ARTICLE A-1. OVERALL PROJECT WORK PLAN (Contd.)

**Table A-1: Phase 1 - Eligible penetrations
 American River Flood Control District (ARFCD)**

LMA	Unit	Levee Mile	UCIP_DS_ID	Latitude	Longitude	Inspection Task Category	Estimated Inspection Cost
NA0001	6	0.387	24090	38.591048	-121.505339	III	\$2,400.00
NA0001	6	0.018	24092	38.65739993	-121.4744549	IV	\$4,000.00
NA0001	6	0.612	24095	38.659668	-121.464136	IV	\$4,000.00
NA0001	1	1.053	24096	38.66236	-121.45701	IV	\$4,000.00
NA0001	1	1.228	24250	38.625182	-121.447154	IV	\$4,000.00
NA0001	1	1.299	24253	38.625628	-121.445995	IV	\$4,000.00
NA0001	1	1.368	24254	38.626093	-121.444853	IV	\$4,000.00
NA0001	1	1.578	24255	38.627241	-121.441465	I	\$1,000.00
NA0001	1	1.778	24256	38.627936	-121.437982	II	\$1,600.00
NA0001	1	1.968	24257	38.627503	-121.434547	IV	\$4,000.00
NA0001	3	1.952	24259	38.627568	-121.434815	I	\$1,000.00
NA0001	4	1.893	24295	38.59605	-121.449521	IV	\$4,000.00
NA0001	4	0.399	24303	38.600436	-121.502058	II	\$1,600.00
NA0001	4	0.922	24305	38.601656	-121.492639	II	\$1,600.00
NA0001	4	4.578	24314	38.58115	-121.43709	IV	\$4,000.00
NA0001	4	4.647	24315	38.580993	-121.435842	IV	\$4,000.00
NA0001	4	9.305	24322	38.566686	-121.374807	IV	\$4,000.00
NA0001	4	9.502	24324	38.567038	-121.371233	IV	\$4,000.00
NA0001	4	10.627	24325	38.568324	-121.352903	II	\$1,600.00
NA0001	4	2.823	24328	38.587383	-121.464951	IV	\$4,000.00
NA0001	4	3.192	24330	38.588601	-121.458503	II	\$1,600.00
NA0001	4	3.577	24331	38.58949	-121.45174	I	\$1,000.00
NA0001	4	3.847	24336	38.586893	-121.44812	II	\$1,600.00
NA0001	4	6.076	24338	38.5685122	-121.4240892	II	\$1,600.00
NA0001	4	6.113	24339	38.567982	-121.423962	IV	\$4,000.00
NA0001	4	6.574	24341	38.56168793	-121.4212984	II	\$1,600.00
NA0001	4	4.61	24345	38.581103	-121.436516	IV	\$4,000.00
NA0001	4	2.615	24347	38.58876	-121.46836	IV	\$4,000.00
NA0001	4	3.963	24348	38.585738	-121.446559	IV	\$4,000.00
NA0001	6	6.774	24349	38.55945	-121.41896	II	\$1,600.00
NA0001	6	1.073	24350	38.662354	-121.456642	IV	\$4,000.00
NA0001	6	1.083	24351	38.662352	-121.456458	IV	\$4,000.00
NA0001	6	0.193	24352	38.65728	-121.471229	IV	\$4,000.00
NA0001	6	0.392	24353	38.658379	-121.467832	IV	\$4,000.00
NA0001	6	0.836	24354	38.661156	-121.460475	II	\$1,600.00
NA0001	6	1.123	24355	38.662341	-121.455722	IV	\$4,000.00
NA0001	7	1.232	24356	38.662312	-121.453698	IV	\$4,000.00

ARTICLE A-1. OVERALL PROJECT WORK PLAN (Contd.)

Table A-1 Contd.							
LMA	Unit	Levee Mile	UCIP_DS_ID	Latitude	Longitude	Inspection Task Category	Estimated Inspection Cost
NA0001	7	1.26	24368	38.625871	-121.447187	I	\$1,000.00
NA0001	7	1.334	24370	38.626321	-121.445964	II	\$1,600.00
NA0001	7	1.468	24371	38.627201	-121.44379	I	\$1,000.00
NA0001	7	1.603	24372	38.627738	-121.44147	I	\$1,000.00
NA0001	7	1.72	24373	38.628108	-121.439471	I	\$1,000.00
NA0001	7	1.769	24374	38.628248	-121.438598	IV	\$4,000.00
NA0001	7	1.834	24375	38.628381	-121.437412	I	\$1,000.00
NA0001	7	1.894	24376	38.628279	-121.436308	I	\$1,000.00
NA0001	7	0.961	24378	38.625772	-121.452664	IV	\$4,000.00
NA0001	8	1.768	24379	38.62830094	-121.4386137	I	\$1,000.00
NA0001	8	0.009	24380	38.667968	-121.447288	IV	\$4,000.00
NA0001	8	1.399	24384	38.660913	-121.4299	IV	\$4,000.00
NA0001	8	0	24386	38.667929	-121.44746	IV	\$4,000.00
NA0001	8	0.864	24387	38.667123	-121.432748	IV	\$4,000.00
NA0001	8	0.1	24388	38.668275	-121.445726	IV	\$4,000.00
NA0001	8	0.117	24389	38.668274	-121.445426	IV	\$4,000.00
NA0001	9	0.413	24390	38.66814	-121.440004	I	\$1,000.00
NA0001	9	1.291	24394	38.562285	-121.405265	II	\$1,600.00
NA0001	9	2.223	24397	38.564663	-121.420059	IV	\$4,000.00
NA0001	9	2.576	24401	38.569682	-121.42126	IV	\$4,000.00
NA0001	9	3.681	24406	38.58431649	-121.4209349	III	\$2,400.00
NA0001	9	3.742	24409	38.584908	-121.421789	I	\$1,000.00
NA0001	10	1.488	24411	38.56177	-121.40886	IV	\$4,000.00
NA0001	10	0.942	24413	38.587989	-121.336773	II	\$1,600.00
NA0001	2	3.879	24414	38.567947	-121.38277	IV	\$4,000.00
NA0001	2	0.488	24422	38.608022	-121.467116	IV	\$4,000.00
NA0001	2	1.244	24478	38.618875	-121.467562	I	\$1,000.00
NA0001	2	1.492	24479	38.622404	-121.468248	IV	\$4,000.00
NA0001	2	1.759	24480	38.626237	-121.468983	IV	\$4,000.00
NA0001	2	1.961	24481	38.629129	-121.469556	II	\$1,600.00
NA0001	2	2.225	24482	38.632911	-121.470255	IV	\$4,000.00
NA0001	2	2.492	24483	38.636746	-121.470981	IV	\$4,000.00
NA0001	2	2.87	24484	38.642162	-121.472041	II	\$1,600.00
NA0001	2	3.225	24485	38.647254	-121.472976	IV	\$4,000.00
NA0001	2	3.532	24486	38.651655	-121.473824	IV	\$4,000.00
NA0001	3	3.878	24487	38.656622	-121.474785	IV	\$4,000.00
NA0001	4	2.075	24489	38.596274	-121.452848	IV	\$4,000.00
NA0001	4	1.474	24491	38.599767	-121.482797	IV	\$4,000.00

ARTICLE A-1. OVERALL PROJECT WORK PLAN (Contd.)

Table A-1 Contd.							
LMA	Unit	Levee Mile	UCIP_DS_ID	Latitude	Longitude	Inspection Task Category	Estimated Inspection Cost
NA0001	4	1.894	24492	38.595716	-121.477325	IV	\$4,000.00
NA0001	4	2.751	24493	38.587743	-121.466199	IV	\$4,000.00
NA0001	4	3.391	24494	38.589606	-121.455056	II	\$1,600.00
NA0001	4	4.735	24496	38.580753	-121.434247	IV	\$4,000.00
NA0001	4	6.53	24497	38.562207	-121.421802	IV	\$4,000.00
NA0001	4	8.513	24499	38.563742	-121.388832	IV	\$4,000.00
NA0001	4	9.07	24500	38.566161	-121.37906	IV	\$4,000.00
NA0001	4	9.258	24501	38.566693	-121.375677	IV	\$4,000.00
NA0001	4	9.477	24502	38.566956	-121.371675	IV	\$4,000.00
NA0001	4	9.778	24503	38.567995	-121.366287	IV	\$4,000.00
NA0001	5	9.784	24504	38.568023	-121.366165	IV	\$4,000.00
NA0001	5	0.022	24505	38.596157	-121.506856	IV	\$4,000.00
NA0001	5	0.246	24507	38.592998	-121.506062	IV	\$4,000.00
NA0001	5	0.244	24508	38.592998	-121.506062	IV	\$4,000.00
NA0001	5	0.248	24509	38.592998	-121.506062	IV	\$4,000.00
NA0001	5	0.242	24510	38.592998	-121.506062	IV	\$4,000.00
NA0001	5	0.245	24511	38.592998	-121.506062	IV	\$4,000.00
NA0001	5	0.247	24512	38.592998	-121.506062	IV	\$4,000.00
NA0001	6	0.249	24513	38.592998	-121.506062	IV	\$4,000.00
NA0001	9	1.093	24514	38.662349	-121.456274	IV	\$4,000.00
NA0001	10	2.512	24515	38.568767	-121.421178	IV	\$4,000.00
NA0001	8	3.79	24518	38.568265	-121.381196	IV	\$4,000.00
NA0001	4	0.431	24523	38.668129	-121.439666	IV	\$4,000.00
NA0001	5	1.475	24527	38.599767	-121.482797	IV	\$4,000.00
NA0001	5	0.195	24557	38.59367	-121.50629	IV	\$4,000.00
NA0001	1	0.25	24564	38.592998	-121.506062	IV	\$4,000.00
NA0001	1	1.3	24575	38.625628	-121.445995	IV	\$4,000.00
NA0001	1	1.275	24576	38.6255	-121.44639	IV	\$4,000.00
NA0001	4	1.276	24577	38.6255	-121.44639	IV	\$4,000.00
NA0001	4	6.531	24585	38.562207	-121.421802	IV	\$4,000.00
NA0001	4	6.532	24586	38.562207	-121.421802	IV	\$4,000.00
NA0001	4	6.775	24595	38.55945	-121.41896	II	\$1,600.00
NA0001	4	6.575	24599	38.56168276	-121.4212932	II	\$1,600.00
NA0001	4	6.576	24600	38.56167774	-121.4212869	II	\$1,600.00
NA0001	4	6.577	24601	38.56166737	-121.4212774	II	\$1,600.00
NA0001	4	6.578	24602	38.561661	-121.42127	II	\$1,600.00
NA0001	4	6.579	24603	38.56165	-121.421261	II	\$1,600.00
NA0001	4	0.663	24624	38.601502	-121.497407	IV	\$4,000.00

ARTICLE A-1. OVERALL PROJECT WORK PLAN (Contd.)

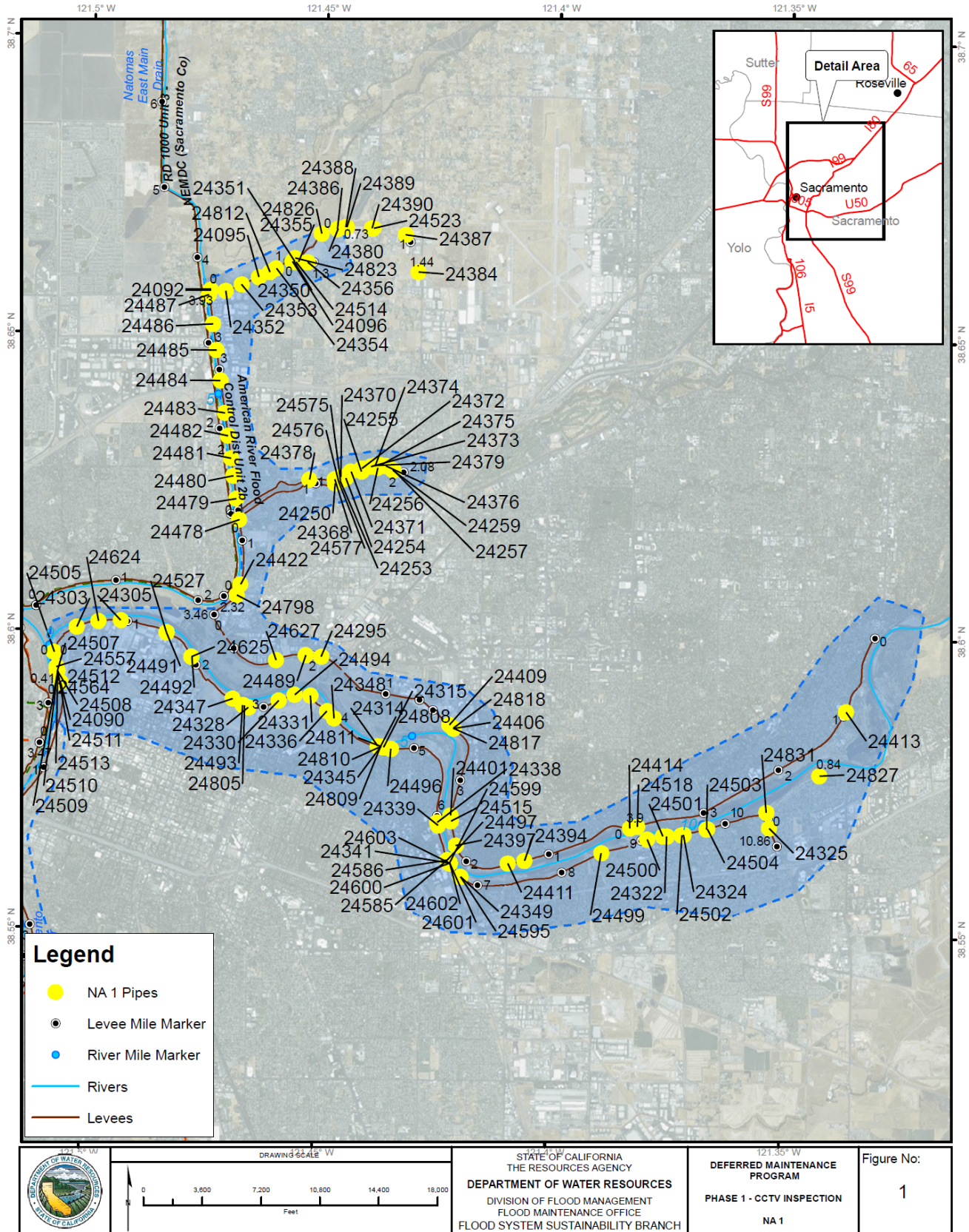
Table A-1 Contd.							
LMA	Unit	Levee Mile	UCIP_DS_ID	Latitude	Longitude	Inspection Task Category	Estimated Inspection Cost
NA0001	3	1.895	24625	38.595716	-121.477325	IV	\$4,000.00
NA0001	2	2.427	24627	38.595386	-121.459167	IV	\$4,000.00
NA0001	4	2.769	24805	38.587629	-121.465905	IV	\$4,000.00
NA0001	4	4.611	24808	38.581101	-121.436502	IV	\$4,000.00
NA0001	4	4.612	24809	38.581092	-121.436466	IV	\$4,000.00
NA0001	4	4.613	24810	38.581087	-121.436449	IV	\$4,000.00
NA0001	6	4.614	24811	38.581082	-121.436431	IV	\$4,000.00
NA0001	9	0.751	24812	38.660518	-121.461826	II	\$1,600.00
NA0001	9	3.683	24817	38.584344	-121.420968	III	\$2,400.00
NA0001	11	3.685	24818	38.584355	-121.420989	III	\$2,400.00
NA0001	11	0.083	24823	38.662976	-121.456464	I	\$1,000.00
NA0001	12	0.518	24826	38.667108	-121.450827	I	\$1,000.00
NA0001	12	0.823	24827	38.577182	-121.342295	II	\$1,600.00
NA0001	1	0.067	24831	38.570894	-121.353571	II	\$1,600.00
Total:							\$396,600.00

Inspection Task Category Explanation

Category	Cost	Description
I	\$1,000	Pipe location is known and the ends are clear: Clean + video inspect
II	\$1,600	Pipe location is verified but the ends are obscured. Pipe may contain up to half-depth of silt: Pothole/desilt + clean + video inspect
III	\$2,400	Pipe may be filled with flowing or stagnant water and the ends may be submerged: Divert flow + clean + video inspect
IV	\$4,000	Pipe existence and location is not definitively known. Reasonable effort is needed to either locate the pipe or verify its non-existence: Locate + pothole/desilt + clean + video inspect

Note: If the LMA believes this list is inaccurate or incomplete, please contact the DMP project manager.

ARTICLE A-1. OVERALL PROJECT WORK PLAN (Contd.)



ARTICLE A-1. OVERALL PROJECT WORK PLAN (Contd.)

Phase – II Pipe Rehabilitation Works:

In general, upon receipt of evaluation reports of Phase – I work from ARFCD, DWR will prepare a Pipe Rehabilitation Plan (PRP) addressing the rehabilitation needs, priority, and funding eligibility for repairs for the area(s) maintained by ARFCD. Subject to execution of an Assurance Agreement between American River Flood Control District and the Central Valley Flood Protection Board, DWR will issue a notice to proceed for the eligible works under Phase -II of the DMP.

Following tasks shall be performed for the authorized work under Phase – II:

1. Prepare engineering design (plans, specifications and estimates), secure applicable environmental and regulatory clearances, and construct the repairs.
2. Incorporate the rehabilitated facility into the Operation and Maintenance manuals, and submit project close-out report.

ARTICLE A-1-A. OVERALL PROJECT BUDGET

American River Flood Control District (ARFCD)

Item No.	Description	Quantity	Unit	Unit Price	Amount
	Phase I: Evaluation of Levee Penetrations				
1	Category I	11	each	\$1,000	\$11,000
	Category II	25	each	\$1,600	\$40,000
	Category III	4	each	\$2,400	\$9,600
	Category IV	84	each	\$4,000	\$336,000
2	Administration and Project Management				\$37,200
3	Contingency (20%)				\$86,760
Subtotal Phase 1:					\$520,560
	Phase II: Pipe Rehabilitation Works				
4	Removal and Replacement of Damaged Pipe	TBD	each	\$220,000	TBD
5	Remove	TBD	each	\$125,000	TBD
6	Abandon In Place	TBD	each	\$60,000	TBD
7	Slipline	TBD	each	\$50,000	TBD
8	Environmental and regulatory compliance cost		LS		TBD
Subtotal Phase 2:					TBD
Total Project Cost					\$520,560

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS

1. Provided below is the minimum Contractor qualifications and specifications for the hydro/vacuum flushing operation and Closed Circuit Television (CCTV) pipeline inspections.
2. **QUALIFICATIONS**
 - a) Contractor must be licensed with the State of California.
 - b) Contractor shall perform the work per National Association of Sewer Service Companies (NASSCO) and Industry Standards.
 - c) The lead person operating the vacuum truck shall be a certified NASSCO Pipeline Assessment Certification Program (PACP) trained operator.
 - d) The internal video inspections shall be performed by a NASSCO PACP certified operator with a minimum of 3 years' experience in lead capacity.
3. **HYDRO VACUUM/FLUSH EQUIPMENT SPECIFICATIONS**
 - a) Hydro vacuum/flush equipment shall have the following minimum specifications:
 - Minimum usable size debris tank capacity of 12 cubic yards
 - Minimum usable water tank capacity of 1,200 gallons
 - Minimum hydroflush flow from 0 to 80 gallons per minute at variable pressure up to 2,500 pounds per square inch (PSI) with smooth and pulsation operation mode features
 - Minimum 600 feet in length one inch flushing hose reel
 - Rotating fully hydraulic vacuum hose boom
 - Positive displacement vacuum blower drive with minimum inlet volume of 4,500 cubic feet per minute (cfm) at 0 inch Hg and 3,650 cfm at 18 inch Hg
 - Minimum 100 feet length of vacuum hose or additional length if required
 - Four (4) dual vertical (cyclone) centrifugal separators located in-line between the debris body and the air mover, two (2) per side for each debris body discharge port.
 - b) A water truck may be necessary to supplement the water supply of the hydro/vacuum truck depending on the location and quantity of penetrations. If required, the Contractor shall provide a water truck with a minimum capacity of 4,000 gallons.
4. **CAMERA EQUIPMENT SPECIFICATIONS**
 - a) The inspections will be performed using a color pan and tilt camera or a side wall scanning (panoramic) camera specifically designed and constructed for storm drainage or storm drain pipeline inspection.
 - b) Lighting for the pan and tilt camera or side wall scanning camera shall provide a clear picture of the entire periphery of the existing pipeline. The camera shall include a remote adjustable optical focus and automatic light compensation iris with remote override, camera controller with remote focus, iris and auto centering control and camera lighting system. Illumination sensitivity shall be 3 lux or less. During inspection, lighting

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

intensity shall be adjusted to minimize glare. Lighting and picture quality shall be adjusted to provide a clear, in-focus picture of the entire periphery of the pipe for all conditions encountered. Lighting shall be adjusted according to the size of the pipe.

- c) The pan and tilt camera shall pause, pan, and visually inspect all service connections, pipe ends, and maintenance or structural defects.
- d) If utilizing a camera with side wall scanning capabilities, pausing and panning of each lateral is not necessary during the inspection if the image clearly depicts the inside of the lateral for post processing.
- e) Side wall scanning inspection systems are imaging cameras that are capable of a continuous 360 degree image capture of the wall of the pipeline being inspected. These systems may have one or multiple cameras to capture the complete interior view of the pipeline. Due to the high resolution of the image quality, the inspections may be conducted at a higher speed than color pan and tilt CCTV method. Once the pipeline inspections are completed, the captured images can be linked with a companion software package that allows for identifying and coding defects and features in the pipeline. Typically these systems provide a fold flat view and a perspective view (typical of CCTV) of the pipeline.
- f) There shall be no geometrical distortion of the image. The camera and monitor shall be able to produce a minimum 460 lines of horizontal resolution and 400 lines of vertical resolution. Focal distance shall be adjustable from a range of 1 inch to infinity. The camera shall be mounted on skids or a tractor suitably sized for each pipe diameter to be inspected. The camera shall move through the pipe in a downstream direction whenever possible at a maximum uniform rate of 30 feet per minute (fpm). Maximum allowable error for all the footage counters shall not exceed 0.5%.

5. SPECIFICATIONS FOR CLEANING AND INSPECTION OF LEVEE PENETRATIONS

Cleaning

- a) Where possible, the pipeline shall first be manually viewed to identify cleaning needs and any obvious structural concerns before any cleaning equipment is used in the pipeline.
- b) Pipelines shall be cleaned with equipment adequate to remove all debris that has been deposited inside the pipeline.
- c) During the cleaning process, if pipeline bedding material is being removed, the cleaning process shall be stopped and the LMA shall be immediately notified.
- d) Any continuous water flow into the pipeline shall be stopped during the cleaning and CCTV process.
- e) The pipeline shall be completely cleaned. All pipelines shall be cleaned to the point that all portions of the pipeline are completely visible to the TV camera. All debris and solids shall be removed from the pipeline except for minor grains of sand or dampness. The video inspection shall clearly show the condition of the invert of the entire pipe and both ends.

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

- f) The operator of the cleaning unit shall make a visual inspection of each end of the pipeline after it is considered to be in its final condition. This inspection shall determine the completeness of the pipeline cleaning.

Defect and Attribute Coding

- a) All CCTV inspections shall be performed in accordance with NASSCO's Pipeline Assessment Certification Program (PACP). PACP Requirements are as follows:
- Current NASSCO PACP Version 7.0.1 or higher certification of all CCTV operators, working on this project will be required for all CCTV work with a minimum of 3 years' experience in lead position.
 - Database shall be a NASSCO-PACP (Current Version) Certified Access Database.
 - CCTV Software shall be NASSCO-PACP (Current Version) certified.
 - CCTV inspections (Video and Data Collected) will be delivered entirely in digital format.
- b) All observations shall conform to PACP Version 7.0.1 or higher. This version includes changes and pipe grading for pipelines used in levees and dams that were worked out with input by the Corps of Engineers.
- c) Any software used shall incorporate PACP Version 7.0.1 or higher defect and attribute codes.
- d) The software used for the inspections shall allow footage reading from the existing mainline equipment to be automatically entered into the current survey record and directly correspond to the noted defect location throughout the main and in all tabular reports generated.

Pipeline Inspections

- a) The CCTV equipment shall be capable of doing all of the inspection work from the Service Road on the top of the levee (sufficient cable and pulleys available).
- b) Any water flowing through the pipeline to be televised shall be stopped during the inspection.
- c) Pipelines shall be inspected from upstream end (the land side) to the downstream end (the river side) whenever possible. All pipelines inspected against the flow direction shall be noted "Against the Flow (U)" to indicate a reverse setup on the CCTV Report.
- d) The Contractor shall verify footage counter accuracy prior to the start of the CCTV inspection work. The camera set point (footage counter set point) shall be from the end of the pipeline to the focal point in the direction of camera travel. The footage counter shall appear on the screen at all times. The camera shall travel at a maximum speed of 30 fpm with slowdowns at joints. The camera shall stop and pan or tilt as needed to observe and clearly identify the following:
- Camera Set Point
 - Joint separation (gap)
 - Offset joints
 - Alignment problems and elbows
 - Cracked or damaged pipe including lined or point repaired pipe
 - Debris in the main line
 - Identifiable sags or high points in the main line
 - Root intrusion
 - Inflow or infiltration

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

- Corrosion
 - Material Changes
 - Diameter Changes
 - End of the pipeline – End of the pipe
- e) A recording of the televised pipeline inspection shall be provided, locating all defects and any pipeline connections entering the pipeline.
- f) Sufficient general lighting shall be provided to fully illuminate the inside of the pipeline. Additional lighting should be available for any pan and tilt lens when it is not centered on the pipeline. Lighting in the pipe shall be such that the pipe is illuminated and there is a minimum amount of glare. Lighting shall be adjusted as needed according to the size of the pipe to provide a clear picture of the entire periphery of the pipe for all conditions encountered. The CCTV operator will adjust the lighting during the first three to five feet and in the last three to five feet to allow the capture of good video throughout the entire pipeline. Videos where the changes in light as the camera approaches daylight make it very hard to evaluate the ends of the pipeline will not be accepted.
- g) The videos must be formatted to allow the videos to be played independently from any video inspection software. Video inspections that require other than a standard media player shall not be acceptable. No video inspections recorded on VHS tapes shall be allowed.
- h) Continuous digital video recordings of the inspections as they appeared during the inspection shall be transmitted to the LMA. The recordings shall be used as a permanent record of defects. The digital video encoding shall include both sound and video information.
- i) The self propelled transporter must be equipped with appropriate wheels or tracks to provide a smooth inspection. Inspections where the camera is bouncing up and down will not be accepted.
- j) The beginning of each inspection video shall include header information about the pipeline and a brief view of the area including at least one notable feature if possible.
- k) The camera shall stop and view all defects located within the pipeline. The defects must be viewed long enough and from multiple angles if necessary to allow clear identification of the nature of the defect.
- l) If a blockage cannot be removed and hampers the televising of the pipeline in one direction then an attempt shall be made to complete the section by televising from the other end of the pipeline to complete the section. The reversed inspection should immediately follow the initial inspection and shall be performed per PACP requirements as a second inspection. All obstructions shall be reported to the LMA.
- m) All video and still picture images must be clear and sharp. Adjust the focus, iris, zoom, and lighting as needed to obtain a satisfactory image. The recorded image from the CCTV camera must be free of fog or haze in the pipe. If the camera lens becomes obscured with condensation, scum, or debris, the camera shall be removed from the pipe, cleaned, and reinserted to continue inspecting the pipe. Excessive fog or haze, mud, and other debris on the camera lens during an inspection shall be cause for rejection of the inspection.
- n) If the quality of the video inspections is not in compliance, the segment shall be re-inspected or revised at no additional expense. All inspections not in compliance will be rejected.
- o) The camera shall be propelled through the pipeline by a self-propelled transporter. The transporter shall have a remotely controlled camera elevating device to center the camera in the pipeline. Inspections with cameras that are not set in the center of the pipeline may not be accepted.
- p) The inspection system must be able to collect all necessary data in either the forward or reverse direction.

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

- q) The camera shall allow clear viewing of the pipe surface and any defects located within the pipeline. The cameras shall also allow the operator to clearly view any defects or features when using the zoom feature of the camera. When a defect or other feature is encountered in a pipe, it shall be recorded at the footage indicated on the footage counter by using the appropriate PACP codes. Progress of the camera shall be slowed and stopped for a minimum of 15 seconds or as needed so that the observation can be panned with the camera, the data recorded, narration made, and a still picture captured if required.
- r) The distance from the start of the inspection (footage) shall appear on the corresponding video inspection and shall also appear on the reports indicating the correct footage for coded PACP entries.
- s) All of the needed information shall be included in the header for each pipeline inspection. The following guidelines must be followed when completing the CCTV header:
- Unless specifically required, do NOT enter units or abbreviations for measurements (e.g. in, “, feet, ft, ‘)
 - Use all capital letters
 - Enter all numeric entries to one decimal place, unless otherwise directed
- t) The pipes are located within a LMA. Each pipe inspected will have a unique identifier provided by the LMA which is the Desk Study Identification (DSID).
- u) The following lists the required reporting header information for the CCTV inspections and provides an explanation of appropriate responses to each item. The LMA provided information is underlined below. The LMA will provide printed copies and/or electronic excel files of the LMA provided header information for each pipe.

There are typically two scenarios for the pipes that will be inspected. The first is a pipe that extends below the levee with no intermediate manholes. For consistency, the inlet and outlet will be considered manholes in the header information and will be identified as follows:

- DSID WS or DSID LS

The second is when a pipe has an intermediate screw gate typically located on the waterside hinge point. This structure is considered a manhole and the following coding convention should be used for the manhole:

- DSID MHWS or DSID MHLS

The coding for the inlet and outlet will be the same as the first scenario above.

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

Header Information

Header Information	Appropriate Sample Responses	Description/Comments
Surveyed By	Chris Jones	Contractor to fill out
Certificate Number	U-1213-07006199	Contractor to fill out
Media Label	<u>RD0017 10</u>	LMA Shortname & DSID
Project	<u>DMP</u>	Deferred Maintenance Project
Date	20171225	Contractor to fill out – Use PACP date format
Time	13:50	Contractor to fill out – Use 24 hour (military) format
Sheet Number	N/A	N/A-Since computerized entry is required
Weather	1	Contractor to fill out – Use PACP code
Pre-Cleaning	L	Contractor to fill out – Use PACP code
Date Cleaned	20171205	Contractor to fill out – Use PACP date format
Flow Control	P	Contractor to fill out – Use PACP code
Purpose of Survey	<u>G</u>	Capital Improvement Program Assessment – Use PACP code
Direction of Survey	D	Contractor to fill out – Use PACP code (D=Downstream, U=Upstream)
Inspection Technology Used	CC	Contractor to fill out – Use PACP code
Inspection Status	CI	Contractor to fill out – Use PACP code
Drainage Area	<u>San Joaquin River RB</u>	Waterway and Bank
Pipe Segment Reference	<u>10</u>	Desk Study Identification (DSID)
Street (Name & Number)	<u>2 1.229</u>	Unit & Current Levee Mile (CLM)
City	<u>RD 00017</u>	LMA Shortname
Location Code	N	Contractor to fill out-- Use PACP code -Should generally be N-Levee/Floodwall
Location Details	<u>San Joaquin</u>	County

Header Information	Appropriate Sample Responses	Description/Comments
Pipe Use	LG	Contractor to fill out-- Use PACP code -Should generally be LG-Levee Gravity Pipe
Height (Diameter inches)	24	Contractor to fill out in inches
Width	N/A	Contractor to fill out-inches. Write N/A if circular pipe
Shape	C	Contractor to fill out – Use PACP code
Material	CMP	Contractor to fill out – Use PACP code
Total Length	105.6	Contractor to fill out in feet to the nearest 1/10 th foot
Length Surveyed	105.6	Contractor to fill out in feet to the nearest 1/10 th foot
Upstream MH No.	10 LS	Contractor to fill out
Upstream MH Northing	37.900242	Contractor to fill out to 6 decimal places
Upstream MH Easting	-121.325498	Contractor to fill out to 6 decimal places
Downstream MH No.	10 WS	Contractor to fill out
Downstream MH Northing	37.900242	Contractor to fill out to 6 decimal places
Downstream MH Easting	-121.325498	Contractor to fill out to 6 decimal places
MH Coordinate System	World Geodetic System (WGS 1984)	Coordinate System to be used
GPS Accuracy	L	Contractor to fill out – Use PACP code

- v) The camera must be centered in the pipe to provide accurate distance measurements to provide locations of features in the pipeline and these footage measurements shall be displayed and documented on the video. All video must be continuously measured from the end of the pipelines.
- w) Pipeline inspections are performed from end of pipe to end of pipe. Each individual pipe segment requires a separate inspection record and video. Immediately before the insertion of the camera, the following

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

information must be provided as text on the video recording. The text shall be clearly displayed on a contrasting background (e.g. white text on dark background or black text on white background). This text shall be displayed for approximately 15 seconds or for the duration of the start-up narration, whichever is first.

- Direction of camera travel (i.e. “from WS to LS” or “from LS to WS”) of the pipe segment.
 - Direction of camera travel: The direction of camera travel shall be in the direction of flow in the pipe unless there are access problems that require a reverse set-up, the camera cannot pass through the pipe from end-to-end in the direction of flow, or because an obstruction prevents the camera passing, comments shall be made about the reason a reverse setup is needed. Reverse set-ups for convenience are not acceptable. All CCTV observation locations are to be recorded based on the direction of camera travel.
 - LMA Short name and DSID
 - Date and time of day
 - Project name or work order number
 - CCTV company or District staff
 - Operator’s name
- x) The CCTV data recording shall begin as the camera is being lowered into the pipeline and include scanning the end of the pipeline for observations before the pipeline inspection is started. All observations at the end of the pipeline shall be recorded at footage “0.0” of the pipe being inspected. The camera shall then be pointed down to scan the end of the pipeline and, with the video running, slowly lowered into the pipeline with the camera head pointed in the direction of the flow in the pipe. If a defect in the end of the pipeline is observed, the camera shall be panned and zoomed to obtain a closer view of the defect. The camera shall be set into the bottom of the pipeline in the direction of the inspection and the video stopped after panning up.
- y) During the CCTV, the running screen shall include the following information. The display of this information must in no way obscure the central focus of the pipe being inspected.
- Running footage (distance traveled): The “zero” point of the CCTV is the end of the pipeline where the camera is inserted. The footage counter shall be set accordingly by adding the footage from the end of the pipeline plus the camera length (or the camera length plus the camera focal length).
 - LMA shortname and DSID
- z) Defect codes shall not be shown on screen text.
- aa) The end point of the segment is the end of the pipeline at the opposite end of the pipeline segment from the starting location. This end point shall be recorded for approximately 15 seconds.
- bb) Collected video inspection files and header files shall be recorded onto a transportable compatible electronic storage device such as a removable hard drive or a USB flash drive. Original un-edited data shall be archived for a minimum of 5 years after project completion.

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

Manhole Inspections

- a) Manholes shall be inspected in accordance with MACP requirements.
- b) Header input for Manhole inspections shall use the same responses as for the pipeline inspections, where appropriate. Information specific to Manhole inspections shall be entered by the Contractor in accordance with MACP guidelines.

6. NARRATION

- a) The CCTV video recordings will become part of DWR's permanent records and shall not contain inappropriate language, idle chatter, background noise, and discussions between the operator and other crew members. All video narration must be live by the CCTV operator. All defect codes must be narrated.
- b) A voice narration must be included in the video recording. This narration must include the following information at the beginning of each pipe segment:
 - Upstream and downstream manhole numbers
 - Direction of camera travel
 - Purpose of inspection
 - Location-LMA Shortname and DSID
 - Date
 - Work order number (if applicable) and project name
 - Pipe size
 - Pipe material
 - CCTV company or District staff name
- c) Narrate all observations along the length of the pipe with a description of the observation and clock position, if applicable. For example:
 - "Circumferential Crack from 9 to 2 O'clock at 56 feet"
 - "Broken Pipe soil visible from 10 to 3 O'clock at 23 feet"
- d) At the conclusion of the inspection of a pipe segment, the operator shall state the final CCTV footage and indicate that the CCTV of the pipe segment is complete. For example:
 - "CCTV of pipeline from manhole 10 LS to manhole 10 WS is complete at 99 feet"
- e) If the inspection had to be abandoned before reaching the end of the pipeline, then a statement to this effect shall be made as part of the ending narration with a reason given as to why the inspection could not be completed.

7. INSPECTION DATA

- a) The inspection videos and data shall be transmitted to the LMA on a transportable compatible electronic storage device such as a removable hard drive or a USB flash drive for the LMA and eventually DWR review for compliance. The data shall be submitted in native file format and as described below.

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

- b) The pipeline inspection data shall be transmitted every two weeks on two Microsoft Excel spreadsheets as follows:
- The first table shall include all of the Inspection data listed in the Pipeline Inspection Summary Template.
 - The second table shall include all of the Inspection data listed in the Pipeline Details Summary Template.
- c) The manhole inspection data shall be transmitted every two weeks on three Microsoft Excel spreadsheets as follows:
- MH Header Section Template
 - MH Details Summary Template
 - MH Pipe Connections Template
- d) All of the coding shall be compliant with MACP guidelines and shall be consistent with the pipeline inspection data listed above.
- e) The above referenced Templates are shown at the end of this document. Electronic Microsoft Excel Templates will be provided to the Contractor.

8. SUMMARY REPORTS

- a) The Contractor shall submit a report that summarizes the inspections completed for each area, organized by LMA. This will include a listing of all pipelines and manholes inspected and a preliminary assessment of the condition of each of the pipelines.
- b) CCTV inspections and summary report shall be delivered entirely in electronic format as follows:
- All PACP Header information shall be completed in accordance with PACP Guidelines. In addition to mandatory Header fields, additional fields are required as defined above.
 - The documentation of the work shall consist of PACP CCTV Reports, PACP database, logs, electronic reports, Microsoft templates, etc. noting important features encountered during the inspection.
 - The electronic storage device containing the videos and data will be returned to the Contractor within 10 business days, if necessary.
 - The Contractor will be notified in writing of any deficiencies. The Contractor may request to review the video with the LMA and DWR. Deficiencies in inspection videos and electronic data shall be corrected and resubmitted to the LMA within 10 working days, and shall reflect current coding and labeling procedures in this section. This process shall be repeated until the LMA and DWR review of the final CCTV Report indicates that the pipeline cleaning, inspection, and electronic data meet all requirements.

ARTICLE A-1-C. PIPELINE CLEANING AND INSPECTION QUALIFICATIONS AND SPECIFICATIONS (Contd.)

9. SPECIAL PROVISIONS

- a) The Contractor shall be responsible for making repairs and adjustments necessary to keep the equipment in good working order. The LMA shall have the right to terminate or cease payment should Contractor fail to service and maintain the equipment properly.

- b) Contractor shall have the proper permits/licenses/certificates to perform all work.

1	2	3	4	5	6	7	8	9	10	11	12	13
Surveyed By	Certificate Number	Reviewed By	Reviewer Certificate Number	Owner	Customer	PO Number	Work Order	Media Label	Project	Date	Time	Sheet Number
Chris Jones	U-1213-07006199							RD0017 10	DMP	20170801	14:30	N/A

14	15	16	17	18	19	20	21	22	23	24	25	26
Weather	Pre- Cleaning	Date Cleaned	Flow Control	Purpose	Direction	Inspection Technology Used	Inspection Status	Consequences Failure	Pressure Value	Drainage Area	Pipe Segment Reference	Street (Name & Number)
1	L	20170727	P	G	D	CC	CI			San Joaquin River RB	10	2 1.229

27	28	29	30	31	32	33	34	35	36	37	38	39
City	Location Code	Location Details	Pipe Use	Height (Diameter)	Width	Shape	Material	Lining Method	Coating Method	Pipe Joint Length	Total Length	Length Surveyed
RD 00017	N	San Joaquin	LG	24	N/A	C	CMP				105.6	105.6

40	41	42	43	44	45	46	47	48	49	50	51
Year Constructed	Year Renewed	Upstream MH	Upstream Rim to Invert	Upstream Rim to Grade	Upstream Grade to Invert	Upstream MH Northing	Upstream MH Easting	Upstream MH Elevation	Downstream MH	Downstream Rim to Invert	Downstream Rim to Grade
		10 LS				37.900242	-121.325498		10 WS		

52	53	54	55	56	57	58	60
Downstream Grade to Invert	Downstream MH Northing	Downstream MH Easting	Downstream MH Elevation	Coordinate System	Vertical Datum	GPS Accuracy	Additional Info
	37.900239	-121.325485		WGS 1984		L	

Pipeline Details Summary Template

Owner (LMA Shortname)	Pipe Segment Number	Contractor	Surveyed by	Date	Upstream End of Pipe Number (Land Side)	Downstream End of Pipe		Direction	Pipe Diameter (inches)	Pipe Material Code
						Number (River Side)	Side)			
RD 00017	10	XYZ Pipe Inspections	Chris Jones	20170801	10 LS	10 WS	10 WS	Downstream	21	CMP
RD 00017	10	XYZ Pipe Inspections	Chris Jones	20170801	10 LS	10 WS	10 WS	Downstream	21	CMP
RD 00017	10	XYZ Pipe Inspections	Chris Jones	20170801	10 LS	10 WS	10 WS	Downstream	21	CMP
RD 00017	10	XYZ Pipe Inspections	Chris Jones	20170801	10 LS	10 WS	10 WS	Downstream	21	CMP
RD 00017	10	XYZ Pipe Inspections	Chris Jones	20170801	10 LS	10 WS	10 WS	Downstream	21	CMP
RD 00017	10	XYZ Pipe Inspections	Chris Jones	20170801	10 LS	10 WS	10 WS	Downstream	21	CMP

Distance (Footage)	Video Ref	PACP Code	Description	Continous Defect	Value 1st Dimension	Value 2nd Dimension	Percent	Joint	Circumferential Location At/From
0.0		AEP	End of Pipe						
0.0		MWL	Water Level				5		6
47.9		SCP	Chemical Attack	SO1					6
54.2		SMW	Missing Wall					J	5
60.1		SCP	Chemical Attack	F01					6
75.0		AEP	End of Pipe						

Circumferential Location To	Image Reference	Remarks
		10 LS
7		
3		
		10 WS

MH Header Section Template

1	2	3	4	5	6	7	8	9	10	11
Surveyed By	Certificate Number	Reviewed By	Reviewer Certificate Number	Owner	Contractor	PO Number	Work Order	Media Label	Project	Date
Chris Jones	U-1213-07006199			RD 00017	XYZ Pipe Inspections				DMP	20170801

12	13	14	15	16	17	18	19	20	21	22
Time	Sheet Number	Weather	Pre-Cleaning	Date Cleaned	Purpose	Inspection Level	Inspection Status	Consequences Failure	Drainage Area	Manhole Number
14:30	1	1	L	20170727	G	2	CI		San Joaquin River RB	10MHWS

23	24	25	26	27	28	29	30	31	32
Unit & Current Levee Mile (CLM)	Agency	Location Code	Surface Type	Inflow Potential for Runoff	Location Details	MH Use	Access Type	Year Constructed	Year Renewed
2 1.229	RD 00017	N	Gravel			LG	AMH		

33	34	35	36	37	38	39	40	41	42	43
Evidence Surcharge	Rim to Invert	Rim to Grade	Grade to Invert	Rim to Grade Exposed	Northing	Easting	Elevation	Coordinate System	Vertical Datum	GPS Accuracy
N					37.900238	-121.325495		WGS 1984		

44	45	46	47	48	49	50	51	52	53	54
Additional Info	Cover Type	Cover Shape	Cover Size	Center Cover Size	Cover Size Width	Cover Material	Hole Diameter	Hole Number	Cover Bearing Surface Dia	Cover Bearing Surface Width
		C	24			CAS	B	1	23	

55	56	57	58	59	60	61	62	63	64	65
Cover/ Frame Fit	Cover Condition	Cover Insert Type	Insert Condition	Adjustment Ring Type	Adjustment Ring Material	Ring Condition	Adjustment Ring Height	Frame Material	Frame Bearing Surface Width	Frame Bearing Surface Depth
		N		N				CAS	1	1.5

66	67	68	69	70	71	72	73	74	75	76
Frame Clear Open Diam	Frame Clear Open Width	Frame Condition	Seal Condition	Frame Offset Distance	Frame Seal Inflow	Frame Depth	Chimney Present	Chimney Material1	Chimney Material2	Chimney I/I
22				0	N			CR		N

77	78	79	80	81	82	83	84	85	86	87
Chimney Clear Opening	Chimney Depth	Chimney Lining Interior	Chimney Lining Exterior	Chimney Condition	Cone Type	Cone Material	Cone Depth	Cone Lining Interior	Cone Lining Exterior	Cone Condition
23	1.5	N			CO	CR	4.5	N		

MH Header Section Template

88	89	90	91	92	93	94	95	96	97
Wall Diam	Wall By Size	Wall Material	Wall Depth	Wall Lining Interior	Wall Lining Exterior	Wall Condition	Bench Present	Bench Material	Bench Lining
48		CR	9.5	N			P	CN	N

98	99	100	101	102	103	104	105	106
Bench Condition	Channel Installed	Channel Material	Channel Type	Channel Exposure	Channel Condition	Step Number	Step Material	Additional Component Info
	Y	CN	P	F	S	8	M	

MH Pipe Connections Template

Owner (LMA Shortname)	Manhole ID Number	Contractor	Surveyed by (Operator)	Date	Start Time	Pipe Number	Clock Position	Rim To Invert	Direction	Material	Shape
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	14:30	1	6	12.6	Out	CMP	Circular
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	14:30	2	12	12.5	In	CMP	Circular
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	14:30	3	3	10.7	In	VCP	Circular

Diam (Height)	Width	Pipe Condition	Seal Condition	PipeType Special Condition	Structure ID	Comments
30		Sound	Sound		10MHWS	
30		Sound	Sound		10MHWS	
6		Sound	Sound		10MHWS	

MH Details Summary Template

Owner (LMA Shortname)	Manhole ID Number	Contractor	Surveyed by (Operator)	Date	Depth (Feet)	Component ID	MACP Code	Continous Defect	Value 1st Dimension	Value 2nd Dimension	Percent Joint
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	2.3	CMI	MML	S01			
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	2.7	CMI	MB				
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	4	CMI	IR				
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	4.2	CMI	MML	F01			
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	4.5	COI	HSV				
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	4.5	COI	IR				
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	4.7	COI	IR				
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	4.9	COI	SAV				
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	5.2	WI	MMC				
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	5.5	WI	IW				J
RD 00017	10MHWS	XYZ Pipe Inspections	Chris Jones	20170801	5.8	WI	IW				

Step	Circumferential		Remarks	Image Reference	Video Ref
	Location At/From	Location To			
Y	9	12			
	9				
	5				
	9	6			
	3				
	1	3	Concrete		
	12	12			
	9		Lift Hole		

Exhibit B STANDARD CONDITIONS

B-1 GOVERNING LAW: This Project Agreement is governed by and shall be interpreted in accordance with the laws of the State of California.

B-2 TIMELINESS: Time is of the essence in this Project Agreement.

B-3 AMENDMENT: This Project Agreement may be amended at any time by mutual agreement of the Parties, except insofar as any proposed amendments are in any way contrary to applicable law. Requests by the Funding Recipient for amendments must be in writing stating the amendment request and the reason for the request. State shall have no obligation to agree to an amendment.

B-4 SUCCESSORS AND ASSIGNS: This Project Agreement and all of its provisions shall apply to and bind the successors and assigns of the parties. No assignment or transfer of this Project Agreement or any part thereof, rights hereunder, or interest herein by the Funding Recipient shall be valid unless and until it is approved by State and made subject to such reasonable terms and conditions as State may impose.

B-5 AUDITS: State reserves the right to conduct an audit at any time between the execution of this Project Agreement and the completion of the Project, with the costs of such audit borne by State. After completion of the Project, State may require Funding Recipient to conduct a final audit to State's specifications, at Funding Recipient's expense, such audit to be conducted by and a report prepared by an independent Certified Public Accountant. Failure or refusal by Funding Recipient to comply with this provision shall be considered a breach of this Project Agreement, and State may elect to pursue any remedies provided in Paragraph 20 of the Project Agreement or take any other action it deems necessary to protect its interests.

Pursuant to Government Code Section 8546.7, the Funding Recipient shall be subject to the examination and audit of State for a period of three years after final payment under this Project Agreement with respect of all matters connected with this Project Agreement, including but not limited to, the cost of administering this Project Agreement. All records of Funding Recipient or subcontractors shall be preserved for this purpose for at least three (3) years after Project completion.

B-6 ACCOUNTING AND DEPOSIT OF FUNDING DISBURSEMENT:

- a) Separate Accounting of Funding Disbursements and Interest Records: Funding Recipient shall account for the money disbursed pursuant to this Project Agreement separately from all other Funding Recipient funds. Funding Recipient shall maintain audit and accounting procedures that are in accordance with generally accepted accounting principles and practices, consistently applied. Funding Recipient shall keep complete and accurate records of all receipts, disbursements, and interest earned on expenditures of such funds. Funding Recipient shall require its contractors or subcontractors to maintain books, records, and other documents pertinent to their work in accordance with generally accepted accounting principles and practices. Records are subject to inspection by State at any and all reasonable times.
- b) Disposition of Money Disbursed: All money disbursed pursuant to this Project Agreement shall be deposited, administered, and accounted for pursuant to the provisions of applicable law.
- c) Remittance of Unexpended Funds: Funding Recipient shall remit to State any unexpended funds that were disbursed to Funding Recipient under this Project Agreement and were not used to pay Eligible Project Costs within a period of sixty (60) calendar days from the final disbursement from State to Funding Recipient of funds or, within thirty (30) days of the expiration of the Project Agreement, whichever comes first.

B-7 COMPETITIVE BIDDING AND PROCUREMENTS: Funding Recipient shall comply with all applicable laws and regulations regarding securing competitive bids and undertaking competitive negotiations in Funding Recipient's contracts with other entities for acquisition of goods and services and construction of public works with funds provided by State under this Project Agreement.

B-8 FINAL INSPECTIONS AND CERTIFICATION OF REGISTERED CIVIL ENGINEER: Upon completion of the Project, Funding Recipient shall provide for a final inspection and certification by a California Registered Civil Engineer that the Project has been completed in accordance with submitted final plans and specifications and any modifications thereto and in accordance with this Project Agreement. Funding Recipient shall notify the State's Project Manager of the inspection date at least 14 calendar days prior to the inspection in order to provide State the opportunity to participate in the inspection.

B-9 INSPECTIONS OF PROJECT BY STATE: State shall have the right to inspect the work being performed at any and all reasonable times during the term of the Project Agreement. This right shall extend to any subcontracts, and Funding Recipient shall include provisions ensuring such access in all its contracts or subcontracts entered into pursuant to its Project Agreement with State. State shall also have the right to inspect the Project under the terms set forth in the OMRR&R Agreement included as Exhibit D to this Project Agreement.

B-10 INSPECTION OF BOOKS, RECORDS, AND REPORTS: During regular office hours, each of the parties hereto and their duly authorized representatives shall have the right to inspect and to make copies of any books, records, or reports of either party pertaining to this Project Agreement or matters related hereto. Each of the parties hereto shall maintain and shall make available at all times for such inspection accurate records of all its costs, disbursements, and receipts with respect to its activities under this Project Agreement. Failure or refusal by Funding Recipient to comply with this provision shall be considered a breach of this Project Agreement, and State may withhold disbursements to Funding Recipient or take any other action it deems necessary to protect its interests, as provided in Paragraph 20 of the Project Agreement.

B-11 ACKNOWLEDGEMENT OF CREDIT: Funding Recipient shall include appropriate acknowledgement of credit to the State and to all cost-sharing partners for their support when promoting the Project or using any data and/or information developed under this Project Agreement. During construction of the Project, Funding Recipient shall install a sign at a prominent location which shall include a statement that the Project is financed under the California Disaster Preparedness and Flood Prevention Bond Act of 2006, Deferred Maintenance Project, administered by State of California, Department of Water Resources. Funding Recipient shall notify State that the sign has been erected by providing them with a site map with the sign location noted and a photograph of the sign.

B-12 TRAVEL: Travel includes the reasonable and necessary costs of transportation, subsistence, and other associated costs incurred by personnel during the term of this Project Agreement. Travel and per diem shall be reimbursed consistent with the rates current at the time of travel. These rates are published at <http://www.dpa.ca.gov/jobinfo/statetravel.shtm> or its successor website. For the purpose of computing such expenses, Funding Recipient's designated headquarters shall be: **165 Commerce Cir, Sacramento, CA 95815**. No travel outside the State of California shall be reimbursed unless prior written authorization is obtained from the State.

B-13 PROHIBITION AGAINST DISPOSAL OF PROJECT WITHOUT STATE PERMISSION: Funding Recipient shall not sell, abandon, lease, transfer, exchange, mortgage, hypothecate, or encumber in any manner whatsoever all or any portion of any real or other property necessarily connected or used in conjunction with the Project, or with Funding Recipient's service of water, without prior permission of State. Funding Recipient shall not take any action, including but not limited to actions relating to user fees, charges, and assessments that could adversely affect the ability of Funding Recipient meet its obligations under this Project Agreement, without prior written permission of State. State may require that the proceeds from the disposition of any real or personal property be remitted to State.

B-14 STATE TO BE HELD HARMLESS: : Funding Recipient shall indemnify and hold and save the State, its officers, agents, and employees, free and harmless from any and all liabilities for any claims and damages (including inverse condemnation) that may arise out of the Project and this Agreement, including, but not limited to any claims or damages arising from the planning, design, construction, maintenance and/or operation of levee rehabilitation measures for this Project and any breach of this Agreement. Funding Recipient shall require its contractors to name the State, its officers, agents, and employees as additional insureds on their liability insurance for activities undertaken pursuant to this Agreement.

B-15 NO THIRD PARTY RIGHTS: The parties to this Project Agreement do not intend to create rights in, or grant remedies to, any third party as a beneficiary of this Project Agreement, or of any duty, covenant, obligation or undertaking established herein.

B-16 OPINIONS AND DETERMINATIONS: Where the terms of this Project Agreement provide for action to be based upon, judgment, approval, review, or determination of either party hereto, such terms are not intended to be and shall never be construed as permitting such opinion, judgment, approval, review, or determination to be arbitrary, capricious, or unreasonable.

B-17 REMEDIES NOT EXCLUSIVE: The use by either party of any remedy specified herein for the enforcement of this Project Agreement is not exclusive and shall not deprive the party using such remedy of, or limit the application of, any other remedy provided by law.

B-18 SEVERABILITY: Should any portion of this Project Agreement be determined to be void or unenforceable, such shall be severed from the whole and the Project Agreement shall continue as modified.

B-19 WAIVER OF RIGHTS: None of the provisions of this Project Agreement shall be deemed waived unless expressly waived in writing. It is the intention of the parties here to that from time to time either party may waive any of its rights under this Project Agreement unless contrary to law. Any waiver by either party of rights arising in connection with the Project Agreement shall not be deemed to be a waiver with respect to any other rights or matters, and such provisions shall continue in full force and effect.

B-20 TERMINATION FOR CAUSE: Subject to the right to cure under Paragraph 20 of the Project Agreement, the State may terminate this Project Agreement and be relieved of any payments should Funding Recipient fail to perform the requirements of this Project Agreement at the time and in the manner herein provided including but not limited to reason of default under Paragraph 20 of the Project Agreement.

B-21 INDEPENDENT CAPACITY: Funding Recipient, and the agents and employees of Funding Recipients, in the performance of the Project Agreement, shall act in an independent capacity and not as officers, employees, or agents of the State.

B-22 CONFLICT OF INTEREST

- a) Current State Employees: No State officer or employee shall engage in any employment, activity, or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any State agency, unless the employment, activity, or enterprise is required as a condition of regular State employment. No State officer or employee shall contract on his or her own behalf as an independent contractor with any State agency to provide goods or services.
- b) Former State Employees: For the two-year period from the date he or she left State employment, no former State officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements, or any part of the decision-making process relevant to the contract while employed in any capacity by any State agency. For the twelve-month period from the date he or she left State employment, no former State officer or employee may enter into a contract with any State agency if he or she was employed by that State agency in a policy-making position in the same general subject area as the proposed contract within the twelve-month period prior to his or her leaving State service.
- c) Employees of the Funding Recipient: Employees of the Funding Recipient shall comply with all applicable provisions of law pertaining to conflicts of interest, including but not limited to any applicable conflict of interest provisions of the California Political Reform Act, California Government Code § 87100 *et seq.*
- d) Employees of and Consultants to the Funding Recipient: Individuals working on behalf of a Funding Recipient may be required by the Department to file a Statement of Economic Interests (Fair Political

Practices Commission Form 700) if it is determined that an individual is a consultant for Political Reform Act purposes.

B-23 WORKERS' COMPENSATION: Funding Recipient affirms that it is aware of the provisions of Section 3700 of the California Labor Code, which requires every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of that code, and Funding Recipient affirms that it will comply with such provisions before commencing the performance of the work under this Project Agreement and will make its contractors and subcontractors aware of this provision.

B-24 AMERICANS WITH DISABILITIES ACT: By signing this Project Agreement, Funding Recipient assures State that it complies with the Americans with Disabilities Act (ADA) of 1990, (42 U.S.C., 12101 et seq.), which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA.

B-25 NONDISCRIMINATION CLAUSE: During the performance of this Project Agreement, Funding Recipient and its subcontractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment because of sex, race, color, ancestry, religious creed, national origin, physical disability (including HIV and AIDS), mental disability, medical condition (cancer), age (over 40), marital status, and denial of family care leave. Funding Recipient and subcontractors shall insure that the evaluation and treatment of their employees and applicants for employment are free from such discrimination and harassment. Funding Recipient and subcontractors shall comply with the provisions of the Fair Employment and Housing Act (Government Code §12990 (a-f) et seq.) and the applicable regulations promulgated thereunder (California Code of Regulations, Title 2, Section 7285 et seq.). The applicable regulations of the Fair Employment and Housing Commission implementing Government Code Section 12990 (a-f), set forth in Chapter 5 of Division 4 of Title 2 of the California Code of Regulations, are incorporated into this Agreement by reference and made a part hereof as if set forth in full. Funding Recipient and its subcontractors shall give written notice of their obligations under this clause to labor organizations with which they have a collective bargaining or other agreement.

Funding Recipient shall include the nondiscrimination and compliance provisions of this clause in all subcontracts to perform work under the Project Agreement.

B-26 DRUG-FREE WORKPLACE CERTIFICATION

Certification of Compliance: By signing this Project Agreement, Funding Recipient, its contractors or subcontractors hereby certify, under penalty of perjury under the laws of State of California, compliance with the requirements of the Drug-Free Workplace Act of 1990 (Government Code 8350 et seq.) and have or will provide a drug-free workplace by taking the following actions:

- a) Publish a statement notifying employees, contractors, and subcontractors that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees, contractors, or subcontractors for violations, as required by Government Code Section 8355(a)(1).
- b) Establish a Drug-Free Awareness Program, as required by Government Code Section 8355(a)(2) to inform employees, contractors, or subcontractors about all of the following:
 1. The dangers of drug abuse in the workplace,
 2. Funding Recipient's policy of maintaining a drug-free workplace,
 3. Any available counseling, rehabilitation, and employee assistance programs, and
 4. Penalties that may be imposed upon employees, contractors, and subcontractors for drug abuse violations.
- c) Provide as required by Government Code Sections 8355(a)(3), that every employee, contractor, and/or subcontractor who works under this Project Agreement:

1. Will receive a copy of Funding Recipient's drug-free policy statement, and
2. Will agree to abide by terms of Funding Recipient's condition of employment, contract or subcontract.

Suspension of Payments: This Project Agreement may be subject to suspension of payments or termination, or both, and Funding Recipient may be subject to debarment if the State determines that:

- a) Funding Recipient, its contractors, or subcontractors have made a false certification, or
- b) Funding Recipient, its contractors, or subcontractors violates the certification by failing to carry out the requirements noted above.

B-27 UNION ORGANIZING: Funding Recipient, by signing this Project Agreement, hereby acknowledges the applicability of Government Code 16645 through 16649 to this Project Agreement. Furthermore, Funding Recipient, by signing this Project Agreement, hereby certifies that:

- a) No State funds disbursed by this Project Agreement will be used to assist, promote, or deter union organizing.
- b) Funding Recipient shall account for State funds disbursed for a specific expenditure by this Project Agreement to show those funds were allocated to that expenditure.
- c) Funding Recipient shall, where State funds are not designated as described in (b) above, allocate, on a pro rata basis, all disbursements that support the program.
- d) If Funding Recipient makes expenditures to assist, promote, or deter union organizing, Funding Recipient will maintain records sufficient to show that no State funds were used for those expenditures and that Funding Recipient shall provide those records to the Attorney General upon request.

B-28 BUDGET CONTINGENCY: If the Budget Act of the current year covered under this Project Agreement does not appropriate sufficient funds for the Deferred Maintenance Project, this Project Agreement shall be of no force and effect. This provision shall be construed as a condition precedent to the obligation of State to make any payments under this Project Agreement. In this event, State shall have no liability to pay any funds whatsoever to Funding Recipient or to furnish any other considerations under this Project Agreement and Funding Recipient shall not be obligated to perform any provisions of this Project Agreement. Nothing in this Project Agreement shall be construed to provide Funding Recipient with a right of priority for payment over any other Funding Recipient. If funding for any fiscal year after the current year covered by this Project Agreement is reduced or deleted by the Budget Act for purposes of this program, State shall have the option to either cancel this Project Agreement with no liability occurring to State, or offer a Project Agreement amendment to Funding Recipient to reflect the reduced amount.

B-29 COMPUTER SOFTWARE: Funding Recipient certifies that it has appropriate systems and controls in place to ensure that state funds will not be used in the performance of this Project Agreement for the acquisition, operation, or maintenance of computer software in violation of copyright laws.

B-30 DELIVERY OF INFORMATION, REPORTS, AND DATA: Funding Recipient agrees to expeditiously provide, during work on the Deferred Maintenance Project and throughout the term of this Project Agreement, such reports, data, information, and certifications as may be reasonably required by State.

B-31 RIGHTS IN DATA: Funding Recipient agrees that all data, plans, drawings, specifications, reports, computer programs, operating manuals, notes, and other written or graphic work produced in the performance of this Project Agreement shall be made available to the State and shall be in the public domain to the extent to which release of such materials is required under the California Public Records Act, Cal. Gov't Code §§ 6250 *et seq.* Funding Recipient may disclose, disseminate and use in whole or in part, any final form data and information received, collected, and developed under this Project Agreement, subject to appropriate acknowledgement of credit to State for financial support. Funding Recipient shall not utilize the materials for

any profit-making venture or sell or grant rights to a third party who intends to do so. The State shall have the right to use any data described in this paragraph for any public purpose.

B-32 DISPOSITION OF EQUIPMENT: Funding Recipient shall provide to State, not less than 30 days prior to submission of the final invoice, an itemized inventory of equipment purchased with funds provided by State. The inventory shall include all items with a current estimated fair market value of more than \$500 per item. Within 60 days of receipt of such inventory State shall provide Funding Recipient with a list of the items on the inventory that State will take title to. All other items shall become the property of Funding Recipient. State shall arrange for delivery from Funding Recipient of items that it takes title to. Cost of transportation, if any, shall be borne by State.

B-33 CHILD SUPPORT COMPLIANCE ACT: For any Project Agreement in excess of \$100,000, the Funding Recipient acknowledges in accordance with Public Contract Code 7110, that:

- a) The Funding Recipient recognizes the importance of child and family support obligations and shall fully comply with all applicable state and federal laws relating to child and family support enforcement, including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with section 5200) of Part 5 of Division 9 of the Family Code; and
- b) The Funding Recipient, to the best of its knowledge is fully complying with the earnings assignment orders of all employees and is providing the names of all new employees to the New Hire Registry maintained by the California Employment Development Department.

B-34 PRIORITY HIRING CONSIDERATIONS: If this Project Agreement includes services in excess of \$200,000, the Funding Recipient shall give priority consideration in filling vacancies in positions funded by the Project Agreement to qualified recipients of aid under Welfare and Institutions Code Section 11200 in accordance with Pub. Contract Code §10353.

B-35 DOMESTIC PARTNERS: For contracts over \$100,000 executed or amended after January 1, 2007, the Funding Recipient certifies by signing this Project Agreement, under penalty of perjury under the laws of State of California, that Funding Recipient is in compliance with Public Contract Code section 10295.3.

B-36 FUNDING RECIPIENT NAME CHANGE: Approval of the State's Program Manager is required to change the Funding Recipient's name as listed on this Project Agreement. Upon receipt of legal documentation of the name change the State will process the amendment. Payment of invoices presented with a new name cannot be paid prior to approval of said amendment.

B-37 AIR OR WATER POLLUTION VIOLATION: Under State laws, the Funding Recipient shall not be: (1) in violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district; (2) subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge requirements or discharge prohibitions; or (3) finally determined to be in violation of provisions of federal law relating to air or water pollution.

Exhibit C QUARTERLY WORK PLAN AND REPORT FORMATS

This Exhibit details the requirements for Quarterly Work Plans and Quarterly Progress Reports.

QUARTERLY WORK PLANS

Quarterly Work Plans shall generally use the following format and reflect work to be completed over the following quarter. This format may be modified as necessary to effectively communicate information on the various projects contained in the Deferred Maintenance Project.

The report should reflect the work plan for completing work over the three months of the next calendar quarter.

QUARTERLY WORK PLAN

Describe the work to be performed during the time period covered by the Quarterly Work Plan including:

PROJECT INFORMATION

- Engineering and construction matters;
- Environmental matters;
- Status of permits, easements, rights-of-way, and approvals as may be required by other State, federal, and/or local agencies;
- Major accomplishments planned for the quarter (i.e. tasks to be completed, milestones to be met, meetings to be held or attended, etc.);
- Issues/concerns that have, will, or could affect the schedule or budget, with a recommendation on how to correct the matter;
- Describe differences between the work to be performed and the work outlined in the Overall Work Plan, including anticipated change orders;
- Any litigation, proceedings or claims relating to the Project.

COST INFORMATION

- Listing showing projected costs that are anticipated during the time period covered by the Quarterly Work Plan by the Funding Recipient and each contractor working on the project, broken down to show individual items and tasks.
- A discussion of how the projected costs compare to the project budget included in the Overall Work Plan;
- A list of any changes planned to the budget in accordance with Project Agreement and a revised budget, by task, if changed from latest budget in the Overall Work Plan;
- The amount of advance funds sought from the State pursuant to Paragraph 14(b) of the Project Agreement;
- The amount of funds the Funding Recipient intends to expend to meet its funding obligations under the Project Agreement.

For projects that include eligible Real Estate Capital Outlay Costs and Real Estate Support Costs, such costs will be listed separately from other Eligible Project Costs in the discussion of Project costs. If the Project has multiple Project Elements or Project Features, the Quarterly Work Plan should clearly indicate which costs will be incurred for each Project Element or Project Feature.

SCHEDULE INFORMATION

- A schedule of activities during the time period covered by the Quarterly Work Plan;

- A discussion on how the projected schedule compares to the original or last reported schedule; and
- A list of any changes anticipated during the time period covered by the Quarterly Work Plan as compared to the latest reported schedule.

QUARTERLY PROGRESS REPORTS

Progress reports shall generally use the following format. This format may be modified as necessary to effectively communicate information on the various projects contained in the Deferred Maintenance Project.

The report should reflect the status of all of the projects identified in the Project Agreement. A brief summary of program status should also be provided.

PROJECT STATUS

For each project, describe the work performed during the time period covered by the report including:

PROJECT INFORMATION

- Legal matters;
- Engineering and construction matters;
- Environmental matters;
- Status of permits, easements, rights-of-way, and approvals as may be required by other State, federal, and/or local agencies;
- Major accomplishments during the quarter (i.e. tasks completed, milestones met, meetings held or attended, press releases, etc.);
- Issues/concerns that have, will, or could affect the schedule or budget, with a recommendation on how to correct the matter;
- Describe differences between the work performed and the work outlined in the Overall Work Plan, including change orders;
- .

COST INFORMATION

- Listing showing costs incurred during the time period covered by the report by the Funding Recipient and each contractor working on the project and which of these costs are Eligible Project Costs;
- A discussion on how the actual budget is progressing in comparison to the project budget included in the Overall Work Plan as well as the Quarterly Work Plans;
- A list of any changes approved to the budget in accordance with Project Agreement and a revised budget, by task, if changed from latest budget in the Overall Work Plan;
- A discussion of whether there have been any changes to the Funding Recipient's Finance Plan for payment of the Funding Recipient's share of Eligible Project Costs;
- Identify total interest earned on State funds paid as a result of this Project Agreement; and
- Identify the gross payments received from leasing property acquired as a result of the projects funded by this Project Agreement and identify the State share of such amount.

For projects that include eligible Real Estate Capital Outlay Costs and Real Estate Support Costs, such costs will be listed separately from other Eligible Project Costs in the discussion of Project costs.

SCHEDULE INFORMATION

- A schedule showing actual progress verses planned progress;
- A discussion on how the actual schedule is progressing in comparison to the original or last reported schedule; and
- A list of any changes approved to the Schedule in accordance with Project Agreement and a revised schedule, by task, if changed from latest reported schedule.

Exhibit D
OPERATION AND MAINTENANCE AGREEMENT

BETWEEN
The Central Valley Flood Protection Board
AND
American River Flood Control District
FOR
DMP-2017- ARFCD -01

This Operation and Maintenance Agreement ("OMRR&R Agreement") is entered into by and between the State of California ("State"), acting by and through the Central Valley Flood Protection Board, or any successor thereto, ("Board") and the **American River Flood Control District** ("Funding Recipient") on this _____ day of _____, 20__.

RECITALS

WHEREAS: The **DMP-2017- ARFCD- 01** ("Project") is a project funded in part by the Deferred Maintenance Project and is a **repair** of a part of the State-Federal Flood Control System known as the Sacramento River Flood Control Project which was authorized by Congress on March 1, 1917, and amended on May 15, 1928, August 26, 1937, August 18, 1941, August 17, 1954, and July 14, 1960.

WHEREAS: The Legislature of the State of California approved Control Section 6.10 of the Budget Act of 2016 making available funds for pipe repairs [feel free to insert a more apt description of the DMP];

- The State, acting by and through the Department of Water Resources, has solicited applications for funding for the Deferred Maintenance Project ("DMP").
- The Funding Recipient has signed a Project Agreement dated _____ 20__ . This Project Agreement is between the State of California Department of Water Resources and **American River Flood Control District** for **DMP-2017- ARFCD- 01** ("Project Agreement").
- The Project Agreement provides that the Funding Recipient will be responsible for construction, operation, maintenance, repair, replacement, and rehabilitation (OMRR&R) OMRR&R of the Project(s) (as defined therein).
- The Department has agreed to enter into the Project Agreement on the condition that the Funding Recipient enters into this OMRR&R Agreement under which the Board will oversee OMRR&R for the Project, as defined herein, for the State, as part of the State Plan of Flood Control.

WHEREAS, Funding Recipient acknowledges its obligation under California Water Code Section 12642, which states that in all cases where the Federal Government does not maintain and operate projects, it is the responsibility and duty of the county, city, state agency, or public district affected to maintain and operate flood control and other works, after completion, and hold and save the State and the United States free from damages.

WHEREAS, Pursuant to this agreement Funding Recipient provides the Board with the assurances that it will be responsible for OMRR&R of the Project upon its completion; and will, as described below, hold and save the federal government, State, their representatives, officers, directors, employees, including their

attorneys and other persons, as well as their successors and assigns, free and harmless from any and all claims and damages arising from construction or OMRR&R of the Project.

NOW, THEREFORE, IT IS HEREBY AGREED:

For purposes of this OMRR&R Agreement, the terms below are defined as indicated:

"Board" means the State of California Central Valley Flood Protection Board or any successor thereto.

"Department" means the State of California Department of Water Resources.

"Functional portion of the Project" means a completed portion of the Project to be constructed under the Overall Work Plan as determined by the Board to be suitable to operate and maintain in advance of completion of construction of the entire Project.

"Funding Recipient" means **American River Flood Control District**, a public agency in the State of California, duly organized, existing, and acting pursuant to the laws thereof, which is the signatory to the Project Agreement and this OMRR&R Agreement.

"Interim Standard Operation and Maintenance Manual" means the interim operation and maintenance manual to be produced by Funding Recipient if required by the Project Agreement.

"OMRR&R" means operation, maintenance, repair, replacement, and rehabilitation of the Project.

"OMRR&R Agreement" means this agreement between the Board and the **American River Flood Control District** for OMRR&R of the Project.

"Overall Work Plan" means the plan described in the Project Agreement in Paragraph 22(a) and Exhibit A-1.

"Post Construction Performance Reports" means the report(s) required by Project Agreement in Paragraph 23(e) and further described in Project Agreement Exhibit C.

"Project" means the Funded Project as described in the Overall Work Plan attached to the certain Project Agreement, together with any functional portion of the Project

"Project Agreement" means that certain agreement between the Department and the **American River Flood Control District** for **DMP-2017- ARFCD- 01** dated _____20_____.

"Project Completion Report" means the report required by Project Agreement Paragraph 22(d) and further described in Project Agreement Exhibit G.

"Project Site" means the location of the Project.

"State" means the State of California, acting by and through the Board.

"State Plan of Flood Control" means the state and federal flood control works, lands, programs, plans, conditions, and mode of maintenance and operations described in Cal. Pub. Res. Code § 5096.805(j).

SECTION I: Obligations of the Funding Recipient

A. General Obligations. The Funding Recipient agrees to the following:

1. The Funding Recipient hereby accepts responsibility for the Project.
2. To perform OMRR&R for the Project, including all mitigation features of the Project, without limitation, in accordance with the Project design specifications, environmental permits,

environmental impact reports, regulations, and directions prescribed by the State, all without any cost to the State. The duties of the Funding Recipient to perform OMRR&R for all Project features shall be performed in a manner that does not diminish the flood protection afforded by or jeopardize the structural integrity of the Project and the flood control system of which the Project is part.

3. To hold and save the federal government and the State, their representatives, officers, directors, employees, including their attorneys and other persons, as well as their successors and assigns free and harmless from any and all claims or damages arising out of or in connection with the obligations herein assumed by the Funding Recipient, including any responsibility for claims or damages arising out of work performed by the State on the Project for which the State may be held liable and any claims based upon inverse condemnation.
4. If the Funding Recipient has failed or refused to perform the obligations set forth in this OMRR&R Agreement or the requirements of the manuals mentioned above, the State may take appropriate actions including proceedings to establish a maintenance area under Water Code Section 12878 *et seq.*

If the Funding Recipient has failed or refused to perform the obligations set forth in this OMRR&R Agreement or the requirements of the manuals mentioned above, and for any reason the State is not able to take appropriate actions under these provisions of law, then the State may do any or all of the following: If the failure or refusal constitutes, in the sole discretion of the State, a threat to the continued ability of the Project to perform in a manner necessary to provide its designed level of flood protection, then the State may itself perform the necessary work or do so by contract. The State may in its sole discretion develop a work plan and present it to the Funding Recipient with instructions that if the Funding Recipient does not agree to carry out the work plan within the time specified in the work plan, the State will perform the reasonable and necessary work or do so by contract. The Funding Recipient will reimburse the State for the costs of performing such work in accordance with the procedures set forth in this OMRR&R Agreement. No completion, operation, maintenance, repair, replacement, and rehabilitation by the State shall operate to relieve the Funding Recipient of responsibility to meet the Funding Recipient's obligations as set forth in this OMRR&R Agreement, or to preclude the State from pursuing any other remedy at law or equity to ensure faithful performance pursuant to this OMRR&R Agreement.

5. The Funding Recipient hereby gives the State the right to enter, at reasonable times and in a reasonable manner, upon the land which it owns or controls for access to the Project Site for the purpose of: (i) conducting subsequent inspections to verify that the Funding Recipient is complying with its obligations under this OMRR&R Agreement; and (ii) to perform any work required under other Sections of this Agreement on any part of the Project located at or accessible by the Project Site in conjunction with any present or future flood control plan if in the reasonable judgment of the State the Funding Recipient fails to comply with its obligations under this OMRR&R Agreement. In the event the State assumes title to any of the land to which the Funding Recipient needs access to fulfill the obligations set forth in the paragraph, the State grants an irrevocable license to the Funding Recipient to enter the land to fulfill its obligations under this OMRR&R Agreement.

B. Specific Obligations Arising as a Result of the Project

1. If the Project Agreement requires the Funding Recipient to develop an Interim Standard Operation and Maintenance Manual, Funding Recipient shall:
 - (a) develop an Interim Standard Operation and Maintenance Manual as so required; and

- (b) be responsible for OMRR&R of the Project or functional portion thereof as further explained in: (1) the Interim Standard Operation and Maintenance Manual for the Project and any applicable Supplement to the Interim Standard Operation and Maintenance Manual for the Project and (2) shall annually update the Interim Operation and Maintenance Manual for the Project prepared pursuant to the Project Agreement. The Funding Recipient acknowledges that changes to the Interim Standard Operation and Maintenance Manual may be made by the State and the USACE before the document becomes final and that the Funding Recipient shall be responsible for Operations, Maintenance, Repair, Replacement and Rehabilitation in accordance with any revised version of the Operation and Maintenance Manual for the Project or any Supplement to the Operation and Maintenance Manual.
2. If the Project Agreement requires the Funding Recipient to develop a Safety Plan, Funding Recipient shall:
- (a) develop a Safety Plan as so required;
 - (b) annually update the safety plan for the Project prepared pursuant to the Project Agreement; and
 - (c) use best efforts to ensure that the updated safety plan is integrated into any other local agency emergency plan and is coordinated with the state emergency plan.
3. The Funding Recipient shall provide reports to the Board as follows: (1) The Funding Recipient shall provide copies to the Board of the Project Completion Report and Post Construction Performance Reports prepared pursuant to the Project Agreement; and (2) If requested to do so by the Board, the Funding Recipient shall provide copies to the Board of the operation and maintenance reports required pursuant to California Water Code § 9140(a) that pertain to the Project. The Board may modify these reporting requirements as needed to ensure that it has adequate information with which to perform its responsibilities under this OMRR&R Agreement.

SECTION II: Hazardous Substances

The Funding Recipient acknowledges State may incur obligations with respect to hazardous substances regulated under the Comprehensive Environmental Response, Compensation and Liability Act (CERCLA), 42 U.S.C. §§ 9601-9675; California Hazardous Substances Account Act, California Health & Safety Code §§ 25310 *et seq.* or other statutes or regulations (collectively referred to as "state and federal Hazardous Substances Laws") on lands necessary for Project construction and OMRR&R to the extent the Funding Recipient fails to comply with its obligations under this OMRR&R Agreement. The Funding Recipient agrees:

- A. That in the event that the Funding Recipient discovers through an environmental investigation or other means that any lands, easements, or rights of way that have been acquired or provided for the Project contain hazardous substances regulated under CERCLA and/or other state and federal Hazardous Substances Laws, the Funding Recipient shall promptly notify the State of that discovery.
- B. That in the event hazardous substances regulated under CERCLA and/or other state and federal Hazardous Substances Laws have been found, the Funding Recipient shall initiate and complete any and all necessary response and cleanup activity required under CERCLA and/or other state and federal Hazardous Substances Laws, which shall include any studies and investigations necessary to determine the appropriate response to the contamination. Payment for the costs of such necessary response and cleanup activity as required under CERCLA and/or other state and federal Hazardous Substances Laws shall be made by the Funding Recipient. In the event that the Funding Recipient fails to provide the funds necessary for response and cleanup activity required under CERCLA and/or other state and federal Hazardous Substances Laws or to otherwise discharge the Funding Recipient's responsibilities under this Paragraph B, then the State may perform the necessary response and cleanup activity, and the Funding Recipient shall reimburse the State in accordance with the procedures set out in this

OMRR&R Agreement. If the State performs the necessary response and cleanup activity required under CERCLA and/or other state and federal Hazardous Substances Laws, the State shall consult with the Funding Recipient concerning the selection of the person(s) to perform the work, the amount of money to be spent on the work, the scope of the work, and any other aspect of response and cleanup activity.

- C. That the Funding Recipient shall consult and cooperate with the State in order to ensure that responsible persons under CERCLA and/or other state and federal Hazardous Substances Laws ultimately bear all necessary response and cleanup costs as defined in CERCLA and/or other state and federal Hazardous Substances Laws.
- D. That the Funding Recipient shall operate maintain, repair, replace and rehabilitate the Project in a manner that will control and minimize the release or threatened release of hazardous substances regulated under CERCLA and/or other state and federal Hazardous Substances Laws on lands necessary for Project construction, operation, maintenance, repair, replacement, or rehabilitation.
- E. That in the event that the State, their representatives, officers, directors, employees, including their attorneys and other persons, as well as their successors and assigns, are found to be liable under CERCLA and/or other state and federal Hazardous Substances Laws for the release or threatened release of hazardous substances arising out of the operation, maintenance, repair, replacement, or rehabilitation of the Project, then the Funding Recipient shall indemnify and hold the State, their representatives, officers, directors, employees, including their attorneys and other persons, as well as their successors and assigns, harmless from any response or cleanup costs for which the State, their representatives, officers, directors, employees, including their attorneys and other persons, as well as their successors and assigns, may be found to be liable under CERCLA and/or other state and federal Hazardous Substances Laws.
- F. No decision made or action taken pursuant to any provision of Section II of the Project OMRR&R Agreement shall relieve any responsible person from any liability that may arise under CERCLA and/or other state and federal Hazardous Substances Laws, nor shall such decision or action be considered a waiver by the State or the Funding Recipient of any right to seek from any responsible person as defined by CERCLA and/or other state and federal Hazardous Substances Laws the recovery, contribution of, or indemnification from costs incurred by the State or the Funding Recipient for response or cleanup activity required under CERCLA and/or other state and federal Hazardous Substances Laws, nor shall such decision or action be considered a waiver by the State of any other right or remedy provided by law.

SECTION III: Authorization for Delegation or Subcontracting

The Funding Recipient may delegate or subcontract its responsibilities under this OMRR&R Agreement. In performing the obligations called for in this OMRR&R Agreement, the Funding Recipient shall notify the State when it delegates a majority of its obligations under this Agreement by retaining, employing, or using any agencies or firms. The Funding Recipient shall continue to be responsible for all work to be performed under the contract, including any delegated work. The State shall have the right to request that any services for this OMRR&R Agreement provided to Funding Recipient by any subcontractor be terminated if its performance is unsatisfactory and, upon receipt of such request, Funding Recipient shall promptly terminate the applicable contract(s).

Payment for services rendered by subcontractors shall be made entirely by the Funding Recipient; the State shall not have any responsibility for making any payments to the subcontractors for any services they may render in connection with this OMRR&R Agreement.

SECTION IV: Procedures for Reimbursing the State

To the extent Funding Recipient fails to fulfill its obligations under this Agreement, as provided in Section I A. 4., the State may perform such obligations and bill Funding Recipient accordingly. In such circumstances, the

Agreement: **2017-DMP- ARFCD-01**
American River Flood Control District

State shall provide an invoice to the Funding Recipient for the costs of performing the work. Funding Recipient agrees to reimburse the State by promptly paying any such invoices within thirty days.

SECTION V: Disputes

Before any party to the OMRR&R Agreement may bring suit in any court concerning an issue relating to this OMRR&R Agreement, that party must first seek in good faith to resolve the issue through negotiation or other forms of nonbinding alternative dispute resolution mutually acceptable to all parties.

SECTION VI: Obligation of Future Appropriations

The parties agree that nothing herein shall constitute, or be deemed to constitute, an obligation of future appropriations by the Legislature of the State of California.

SECTION VII: Term of Agreement; Amendment

The effective date of this OMRR&R Agreement is the date it is signed by all parties. The OMRR&R Agreement will continue in full force and effect unless terminated or amended upon written consent of all parties.

The parties acknowledge that in order to obtain federal credits or reimbursement for this Project, it may be necessary to amend this OMRR&R Agreement as required by the USACE. The parties agree that they will not unreasonably withhold consent for any amendments necessary to obtain federal credits or reimbursement.

SECTION VIII: Notices

All notices, requests, demands, and other communications required or permitted to be given under this OMRR&R Agreement shall be deemed to have been duly given if in writing and delivered personally or mailed by first class (postage pre-paid), registered, or certified mail, as follows:

If to **American River Flood Control District:**



American River Flood Control District
165 Commerce Circle
Sacramento, CA 95815

If to the Board:

Ms. Leslie Gallagher
Executive Officer
Central Valley Flood Protection Board
3310 El Camino Ave., Suite 170
Sacramento, CA 95821

With a copy to:

Mr. Mark R. List
DMP Program Manager
Department of Water Resources
P. O. Box 219000
Sacramento, CA 95821-9000

A party may change the address to which such communications are to be directed by giving written notice to the other party in the manner provided in this section.

Any notice, request, demand, or other communication made pursuant to this section shall be deemed to have been received by the addressee at such time as it is personally delivered or seven calendar days after it is mailed, as the case may be.

SECTION IX: Standard Conditions

This OMRR&R Agreement incorporates by reference the standard conditions that are included in Attachment D-1 to this OMRR&R Agreement.

SECTION X: Authority

The Funding Recipient has provided a copy of a resolution adopted by its governing body designating a representative to execute this OMRR&R Agreement. This resolution is substantially the same as the draft resolution provided in Attachment D-2 to this OMRR&R Agreement.

(Remainder of page intentionally left blank)

IN WITNESS WHEREOF, the parties hereto have executed this OMRR&R Agreement.

**Central Valley
Flood Protection Board**

By _____

Name Leslie Gallagher

Title Executive Officer

Date _____

Approved as to Legal Form
And Sufficiency

By _____

Name Jit Dua

Title General Counsel

Date _____

American River Flood Control District

By _____

Name _____

Title _____

Date _____

Approved as to Legal Form
And Sufficiency

By _____

Name _____

Title _____

Date _____

Exhibit D-1: STANDARD CONDITIONS

1. GOVERNING LAW: This OMRR&R Agreement is governed by and shall be interpreted in accordance with the laws of the State of California.
2. TIMELINESS: Time is of the essence in this OMRR&R Agreement.
3. AMENDMENT: This OMRR&R Agreement may be amended at any time by mutual agreement of the Parties, except insofar as any proposed amendments are in any way contrary to applicable law. Requests by the Funding Recipient for amendments must be in writing stating the amendment request and the reason for the request. State shall have no obligation to agree to an amendment.
4. SUCCESSORS AND ASSIGNS: This OMRR&R Agreement and all of its provisions shall apply to and bind the successors and assigns of the parties. No assignment or transfer of this OMRR&R Agreement or any part thereof, rights hereunder, or interest herein by the Funding Recipient shall be valid unless and until it is approved by State and made subject to such reasonable terms and conditions as State may impose.
5. INSPECTION OF BOOKS, RECORDS, AND REPORTS: During regular office hours, each of the parties hereto and their duly authorized representatives shall have the right to inspect and to make copies of any books, records, or reports of either party pertaining to this OMRR&R Agreement or matters related hereto. Each of the parties hereto shall maintain and shall make available at all times for such inspection accurate records of all its costs, disbursements, and receipts with respect to its activities under this OMRR&R Agreement. Failure or refusal by Funding Recipient to comply with this provision shall be considered a breach of this OMRR&R Agreement, and State may take any other action it deems necessary to protect its interests, after complying with Paragraph V of the OMRR&R Agreement.
6. NO THIRD PARTY RIGHTS: The Parties to this OMRR&R Agreement do not intend to create rights in, or grant remedies to, any third party as a beneficiary of this OMRR&R Agreement, or of any duty, covenant, obligation or undertaking established herein.
7. OPINIONS AND DETERMINATIONS: Where the terms of this OMRR&R Agreement provide for action to be based upon, judgment, approval, review, or determination of either party hereto, such terms are not intended to be and shall never be construed as permitting such opinion, judgment, approval, review, or determination to be arbitrary, capricious, or unreasonable.
8. SUIT ON OMRR&R AGREEMENT: Each of the parties hereto may sue and be sued with respect to this OMRR&R Agreement.
9. REMEDIES NOT EXCLUSIVE: The use by either party of any remedy specified herein for the enforcement of this OMRR&R Agreement is not exclusive and shall not deprive the party using such remedy of, or limit the application of, any other remedy provided by law.
10. SEVERABILITY: Should any portion of this OMRR&R Agreement be determined to be void or unenforceable, such shall be severed from the whole and the OMRR&R Agreement shall continue as modified.
11. WAIVER OF RIGHTS: None of the provisions of this OMRR&R Agreement shall be deemed waived unless expressly waived in writing. It is the intention of the parties here to that from time to time either party may waive any of its rights under this OMRR&R Agreement unless contrary to law. Any waiver by either party of rights arising in connection with the OMRR&R Agreement shall not be deemed to be a waiver with respect to any other rights or matters, and such provisions shall continue in full force and effect.
12. TERMINATION FOR CAUSE: The State may terminate this OMRR&R Agreement should Funding Recipient fail to perform the requirements of this OMRR&R Agreement at the time and in the manner herein provided or in the event of a default under Paragraph 20 of the Project Agreement.

13. INDEPENDENT CAPACITY: Funding Recipient, and the agents and employees of Funding Recipients, in the performance of the OMRR&R Agreement, shall act in an independent capacity and not as officers, employees, or agents of the State.

14. CONFLICT OF INTEREST

- a) Current State Employees: No State officer or employee shall engage in any employment, activity, or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any State agency, unless the employment, activity, or enterprise is required as a condition of regular State employment. No State officer or employee shall contract on his or her own behalf as an independent contractor with any State agency to provide goods or services.
- b) Former State Employees: For the two-year period from the date he or she left State employment, no former State officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements, or any part of the decision-making process relevant to the contract while employed in any capacity by any State agency. For the twelve-month period from the date he or she left State employment, no former State officer or employee may enter into a contract with any State agency if he or she was employed by that State agency in a policy-making position in the same general subject area as the proposed contract within the twelve-month period prior to his or her leaving State service.
- c) Employees of the Funding Recipient: Employees of the Funding Recipient shall comply with all applicable provisions of law pertaining to conflicts of interest, including but not limited to any applicable conflict of interest provisions of the California Political Reform Act, Cal. Gov't Code § 87100 *et seq.*
- d) Employees of and Consultants to the Funding Recipient: Individuals working on behalf of a Funding Recipient may be required by the Department to file a Statement of Economic Interests (Fair Political Practices Commission Form 700) if it is determined that an individual is a consultant for Political Reform Act purposes.

Exhibit D-2: RESOLUTION ACCEPTING STANDARD CONDITIONS

Resolution No. _____

Resolved by the **Board of Trustees** of the **American River Flood Control District** that pursuant and subject to all of the terms and provisions of the Control Section 6.10 of the Budget Act of 2016, that funds awarded to **American River Flood Control District** by the California Department of Water Resources for a State-Federal Flood Control System Modification Program project titled: **DMP-2017- ARFCD -01** have been accepted, and as a condition of accepting these funds the Funding Recipient committed to signing an additional agreement with the Central Valley Flood Protection Board, or successor thereto, which requires **American River Flood Control District** to assume responsibility for operation, maintenance, repair, replacement, and rehabilitation of **DMP-2017- ARFCD -01**.

Therefore, the **President** of the **American River Flood Control District** is hereby authorized and directed to sign an operation, maintenance, repair, replacement and rehabilitation agreement with the Central Valley Flood Protection Board, or successor thereto.

Passed and adopted at a regular meeting of the **Board of Trustees** of the **American River Flood Control District** on _____ 2017.



Authorized Signature _____

Printed Name _____

Title _____

Clerk/Secretary _____

Exhibit E
RESOLUTION ACCEPTING FUNDS

Resolution No. _____

Resolved by the **Board of Trustees** of the **American River Flood Control District** that pursuant and subject to all of the terms and provisions of the Control Section 6.10 of the Budget Act of 2016, that the funds awarded to **American River Flood Control District** by the California Department of Water Resources for a State-Federal Flood Control System Modification Program project titled: **DMP-2017-ARFCD-01** are hereby accepted.

The **General Manager** of the **American River Flood Control District** is hereby authorized and directed to sign a Project Agreement with the California Department of Water Resources and to sign requests for disbursements to be made under this Funding Agreement.

Passed and adopted at a regular meeting of the **Board of Trustees** of the **American River Flood Control District** on _____ 2017.



Authorized Signature _____

Printed Name _____

Title _____

Clerk/Secretary _____

Exhibit F

RESERVED

Exhibit G

EARLY PARTIAL RELEASE OF CERTAIN WITHHELD FUNDS

This Exhibit is intended to provide guidance regarding withholding of funds and the procedures Funding Recipients may use to request early partial release of certain withheld funds.

A. Funds Eligible for Early Partial Release

Several provisions of the Project Agreement authorize withholding.

- Paragraph 14(b) provides for advance payment of construction-related costs and the amount withheld is 10% of each advance payments. As invoices are received, the amount withheld is reduced to 5% in accordance with Section 17.
- Paragraph 21(b) provides for disbursements for Real Estate Capital Outlay Costs and the amount withheld depends upon what disbursement option is selected by Funding Recipient.
- Paragraph 21(c) provides for disbursements for Relocation Assistance Costs and the amount withheld for advance payments for such expenses is 25%.
- Paragraph 17 is the general withholding provision which provides for withholding of 5% from all payments, other than payments subject to the withholding rules set forth above.

The State will only consider requests for early partial release of funds that are being withheld pursuant to Paragraph 17. Although Real Estate Support Costs are withheld pursuant to Paragraph 17, the State will not grant requests for partial release of funds which are being withheld to cover the State's share of Real Estate Support Costs. The State also will not grant requests for early partial release of funds withheld under Paragraphs 21(b) and 21(c), which provide for withholding for Real Estate Capital Outlay Costs and Relocation Assistance Costs.

B. Circumstances under Which the State Will Consider a Request for Early Partial Release of Withheld Funds

1. **Timing:** The Funding Recipient may make a request for partial release of withheld funds for a Project Feature, Project Element, or Project. The State will only consider a request for early partial release for withheld funds if the Funding Recipient has made substantial progress towards completion and expects to complete work on the Project Feature, Project Element, or Project no later than 6 months after the date the request is made.
2. **Substantial Progress Toward Closeout:** The State will only consider a request if for the Project Feature, Project Element, or Project the Funding Recipient: (1) has provided an OMRR&R Manual and Project Construction Completion Report in accordance with Exhibit H, Sections II.A and II.B ; and (2) has made significant progress toward providing the required land acquisition final accounting packages required for completion of the land acquisition closeout process specified in Exhibit H, Section II.C.
3. **Amount Withheld:** The State will only consider a request if at the time the request is made the State is withholding the lesser of \$5 million or 5% of the updated estimates of State's share of Eligible Project Costs prepared in accordance with Section D.3 below.

C. Standards for Granting a Request for Early Partial Release of Withheld Funds

The State will grant a request for early partial release if, in the sole judgment of the State either:

1. Granting the request is in the best interests of the State because the withheld funds are needed for further work on the Project, or

2. Granting the request will not adversely affect the State because: (a) the Project has been substantially completed, (b) the amount of the withheld funds is significantly more than an updated estimate of State's share of Eligible Project Costs required to complete the project, and (c) early partial release is not expected to materially affect the willingness of the Funding Recipient to fulfill its remaining obligations under the Project Agreement.

D. Procedures for Making a Request for Early Release of Funds

The Funding Recipient should accompany a request for early release of withheld funds with a report which:

1. Provides evidence that the Funding Recipient has met the prerequisites for making the request set forth in Section C above;
2. Provides evidence that the Funding Recipient has met the standards for early partial release of funds set forth in Section C above;
3. Provides updated estimates of Eligible Project Costs and the State's share of Eligible Project Costs, in the form of an updated budget for each Project Feature and Project Element and the Project on the whole, and
4. Indicates how much of the withheld funds the Funding Recipient wants released.

E. Action by the Department on Request for Early Release of Withheld Funds

If the State determines that the Funding Recipient has submitted a complete request and is eligible to make a request for early release of withheld funds, the State shall use best efforts to notify the Funding Recipient of the State's response to the request within ninety days of when the request is deemed complete.

Exhibit H PROJECT OR ELEMENT/FEATURE CLOSEOUT

I. GENERAL

Funding Recipient shall follow the proper procedures for Project closeout and /or Project Element or Feature closeout. Project closeout occurs after the last portion of a total Project is complete. Project Element or Feature closeout occurs after a discrete Element or Feature is eligible for closeout within the larger Project. Project Element or Feature closeout is also part of the total Project closeout at the end of the Project.

II. PROJECT CLOSEOUT

The Project Agreement Paragraphs applying to Project closeout are 14(d), 16, 21(d), 21(e), 23(a) and Exhibit B-8 and Exhibit F. Below is an outline of the Project closeout documents required, and their timelines, in order to closeout the Project or Project Elements or Features.

- A. Interim OMRR&R Manual (120 days prior to completion of the first Project Element. Time extension may be requested and will be considered on an individual basis.)
- B. Project Construction Completion Report - (within 90 calendar days of completion of all construction tasks. Time extension may be requested and will be considered on an individual basis.)
 - 1. Purpose and description of the Project
 - a. Actual work done
 - b. Schedule (actual vs. proposed)
 - c. Final documents
 - (i) Environmental documents (CEQA/NEPA), permits, and agreements
 - (ii) Budget discussion (Project cost summary) – The Final Statement of Costs will contain more detailed information
 - (iii) Project Agreement and Amendments
 - (iv) Final technical report (QA/QC, survey, etc.)
 - d. Reports/studies generated/utilized during the Project (hydrologic etc.)
 - e. As-built/record drawings – (3 sets hardcopy and 1 electronic format - .pdf on cd) in the form specified in the Exhibits Binder or as otherwise directed by the State
 - f. Photo documentation
 - (i) Pre-construction
 - (ii) Construction
 - (iii) Post-construction
 - g. Civil engineer certification of Project

- (i) Certification by a California Registered Civil Engineer that the pre- and post-project Levels of Protection are consistent with the agreed upon scope of work.
 - (ii) Separate sheet contained within the report with certification by a California Registered Civil Engineer that the Project was constructed in accordance with the approved work plan and any approved modifications thereto.
 - h. Division of Engineering ("DOE") inspection report
 - (i) Provide proof of submittal of Project Completion Report to DOE for review and approval.
 - (ii) Provide memo from DOE stating that the Project has been completed to the State's satisfaction.
- 2. Preliminary Statement of Costs
 - a. Complete account of invoices/costs from Funding Recipient. A list of and copies of all invoices showing:
 - (i) The date each invoice was submitted to State;
 - (ii) The amount of the invoice;
 - (iii) The date the check was received; and
 - (iv) The amount of the check. (If a check has not been received for the final invoice, then state this in this section).
 - b. List of all project invoices (final funds disbursement) on CD Including:
 - (i) Labor cost of personnel of agency/major consultant/sub-consultants;
 - (ii) Personnel, hours, rates, type of profession and reason for consultant, i.e. design, CEQA work, etc.
 - (iii) Construction cost information, shown by material, equipment, labor costs, and change orders;
 - (iv) A statement verifying separate accounting of Project disbursements.
 - (v) Breakdown of costs into Project management, design, environmental, construction, construction management, real estate, lease payments, relocation assistance, etc.
 - c. Summary of Project cost including:
 - (i) Accounting of the cost of Project expenditures;
 - (ii) All internal and external costs not previously disclosed; and
 - (iii) A discussion of factors that positively or negatively affected the Project cost and any deviation from the original Project cost estimate.

- d. If the Funding Recipient is requesting a lump sum payment for the State's share of remaining costs associated with the first three years of environmental mitigation and monitoring required by permits or by CEQA or NEPA that are expected to be Eligible Project Costs, a good faith estimate of the remaining costs and substantiation for the estimate.
- e. Total interest due to State from advances
- 3. Application for seeking Federal credit

A copy of the application filed for a determination of eligibility for federal credits or reimbursement and all correspondence with USACE relating to that application and information regarding the status of that application.
- 4. Assurance Agreement (fully executed)
- 5. Project Associated Work Report (if required because some segments are constructed with the Project but not funded by the DMP)
- C. Real Estate Project Close Documents
 - 1. Land Acquisition Final Accounting Package reviewed and approved
 - 2. Final conveyance documents accepted and recorded
- D. Final Statement of Costs (submitted within 60 days of when real estate project close-out documents are complete.)
 - 1. Updated version of Preliminary Statement of Costs provided pursuant to Section II.B.2 above.
 - 2. .

III. POST CONSTRUCTION PERFORMANCE REPORT

In anticipation of the report required per the OMRR&R Agreement and by AB 156 (9140/9650) each September 30 and ninety days after completion of the submittal of Project Completion Report:

- A. Outline of the reporting format
- B. First Annual Summary of the Operations

Exhibit I

STATE AUDIT DOCUMENT REQUIREMENTS AND FUNDING GUIDELINES FOR FUNDING RECIPIENTS

The following provides a list of documents typically required by State Auditors and general guidelines for Funding Recipients. List of documents pertains to both State funding and Funding Recipient's Funding Match and details the documents/records that State Auditors would need to review in the event of this Funding Agreement is audited. Funding Recipients should ensure that such records are maintained for each project.

List of Documents for Audit

Internal Controls

1. Organization chart (e.g., Agency's overall organization chart and organization chart for the State funded Program/Project).
2. Written internal procedures and flowcharts for the following:
 - a) Receipts and deposits
 - b) Disbursements
 - c) State reimbursement requests
 - d) Expenditure tracking of State funds
 - e) Policy, and Implementation Procedures on State funded Program/Project
3. Audit reports of the Agency internal control structure and/or financial statements within the last two years.
4. Prior audit reports on the State funded Program/Project.

State Funding:

1. Original Funding Agreement, any amendment(s) and budget modification documents.
2. A listing of all bond-funded grants, loans, or subventions received from the State.
3. A listing of all other funding sources for each Program/Project.

Contracts:

1. All subcontractor and consultant contracts and related or partners documents, if applicable.
2. Contracts between the Agency and member agencies as related to the State funded Program/Project.

Invoices:

1. Invoices from vendors and subcontractors for expenditures submitted to the State for payments under the Funding Agreement.
2. Documentation linking subcontractor invoices to State reimbursement, requests and related Funding Agreement budget line items.
3. Reimbursement requests submitted to the State for the Funding Agreement.

Cash Documents:

1. Receipts (copies of warrants) showing payments received from the State.
2. Deposit slips (or bank statements) showing deposit of the payments received from the State.
3. Cancelled checks or disbursement documents showing payments made to vendors, subcontractors, consultants, and/or agents under the grants or loans.
4. Bank statements showing the deposit of the receipts.

Accounting Records:

1. Ledgers showing entries for funding receipts and cash disbursements.
2. Ledgers showing receipts and cash disbursement entries of other funding sources.
3. Bridging documents that tie the general ledger to requests for Funding Agreement reimbursement.

Administration Costs:

1. Supporting documents showing the calculation of administration costs.

Personnel:

1. List of all contractors and Agency staff that worked on the State funded Program/Project.
2. Payroll records including timesheets for contractor staff and the Agency personnel who provided services charged to the program

Project Files:

1. All supporting documentation maintained in the project files.
2. All Funding Agreement related correspondence.

American River Flood Control District

Flood Safety Plan

Staff Report

Discussion:

The District received State grant funding to develop an Emergency Action Plan in 2015. This plan is required for government agencies per the Water Code. The District collaborated with the City and County of Sacramento as well as RD 1000 to work with various consultants that developed each agency's plan.

Recently, SAFCA undertook the effort to add the Dry Creek levee system to the State-Federal flood control project. This required that an Operations and Maintenance manual be developed for the system as well as including documentation that the system is compliant with the State's Urban Levee Design Criteria. SAFCA enlisted MBK Engineers to generate this necessary documentation as well as create a Flood Safety Plan for the levee system.

Upon working with MBK Engineers on the FSP, I informed them that the District recently developed the Emergency Action Plan. MBK Engineers was able to update the EAP and add more specificity in relation to District flood operations to create the new FSP. The FSP was also crafted generally enough to make it applicable to the entire District levee system, not just Dry Creek.

This plan meets the Safety Plan requirements of Section 9650 of the California Water Code and the State of California Urban Levee Design Requirements 7.20. This plan is compliant with the California Standardized Emergency Management System (SEMS), the National Incident Management System (NIMS), and the National Response Framework.

Recommendation:

The General Manager recommends that the Board of Trustees approve the Flood Safety Plan.



American River Flood Control District

Flood Safety Plan

As required by California Water Code Section 9650

January 2018

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Plan Promulgation

To Whom It May Concern:

This Flood Safety Plan (FSP), including the accompanying appendices, having been duly reviewed and approved by the American River Flood Control District (ARFCD or District) Board of Trustees, is hereby promulgated as the official Safety Plan for the District. District staff are hereby directed to use this plan as the basis for emergency response to flood events on District levees. This plan meets the Safety Plan requirements of Section 9650 of the California Water Code and the State of California Urban Levee Design Requirements 7.20. This plan is compliant with the California Standardized Emergency Management System (SEMS), the National Incident Management System (NIMS), and the National Response Framework.

The General Manager shall distribute this plan to outside agencies to ensure proper inter-agency coordination during emergency operations.

The General Manager shall review this plan annually for needed changes and updates, and is authorized to make routine updates and changes to the plan required by changes in District operations and personnel and changes to outside agency plans that affect District operations.

The District Board of Trustees shall review this plan once every four years and after any major flood event where the plan was used to guide District response. The General Manager shall maintain a record of Board plan review and approval actions in accordance with District documentation procedures and policies.

Date _____

Resolution _____

Signed _____

President
Board of Trustees
American River Flood Control District

Record of Changes and Reviews

Each update or change to the Flood Safety Plan (formerly referred to as the Emergency Action Plan) should be tracked. When changes to the plan are made, document the change number, the date of the change, and the name of the person who made the change. See Section 7.1 for more information on the process for reviewing and revising the plan.

Revision No. or Review Date	Name of Person Performing Review	Sections Revised	Date of Distribution	Name of Approving Authority

Record of Initial Distribution

Agency Name	Address	Date Provided
City of Sacramento Department of Utilities	1395 35th Avenue Sacramento, CA 95822	
County of Sacramento Department of Water Resources	827 7th Street, Suite 301 Sacramento, CA 95814	
County of Sacramento Office of Emergency Services	3720 Dudley Boulevard, Suite 122 McClellan, CA 95652	
City of Sacramento Office of Emergency Services	5770 Freeport Boulevard, Suite 100 Sacramento, CA 95822	
State of California Department of Water Resources	1416 9th Street Sacramento, CA 95814	
Sacramento Area Flood Control Agency	1007 7th Street Sacramento, CA 95814	
State of California Central Valley Flood Protection Board	3310 El Camino Avenue Sacramento, CA 95821	

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Abbreviations and Acronyms

AAR	After-Action Report
ARFCD	American River Flood Control District
CCC	California Conservation Corps
Cal EMA	California Emergency Management Agency
Cal Fire	California Department of Forestry and Fire Protection
CDAAC	California Disaster Assistance Act
CDEC	California Data Exchange Center
CERT	Community Emergency Response Team
CNG	California National Guard
CNRFC	California-Nevada River Forecast Center
DWR	California Department of Water Resources
EAS	Emergency Alert System
EDIS	Emergency Digital Information Service
EMS	Emergency Management System
EOC	Emergency Operations Center
FCC	Federal Communications Commission
FEMA	Federal Emergency Management Agency
FOC	Flood Operations Center
FSP	Flood Safety Plan
GPS	Global Positioning System
IC	Incident Commander
ICP	Incident Command Post
ICS	Incident Command System
JIC	Joint Information Center
LMA	Local Maintaining Agency
MAC	Multi-agency Coordination
NWS	National Weather Service
OA	Operational Area (County)
OES	Office of Emergency Services

PIO	Public Information Officer
PL 84-99	Public Law No.84-99 (1984) gives the Corps of Engineers authority for emergency management activities.
RD	Reclamation District
REOC	Cal EMA's Regional Emergency Operations Center
RIMS	Response Information Management System
SAFCA	Sacramento Area Flood Control Agency
SEMS	Standardized Emergency Management System
SOC	Cal EMA's State Operations Center
USACE	U. S.Army Corps of Engineers
USBR	U. S.Bureau of Reclamation

1 Plan Introduction

1.1 Purpose

This Flood Safety Plan (FSP) outlines the American River Flood Control District's (ARFCD or District) planned response to flood emergencies in or affecting Sacramento County and meets the requirements of Section 9650 of the California Water Code.

The purpose of the FSP is to ensure the effective performance of the District responsibilities in a flood emergency in collaboration with other jurisdictions performing emergency functions within and around the District. This FSP provides information, policies, and procedures that will guide and assist the District in efficiently dealing with flood emergencies.

This FSP allows implementation of the California Standardized Emergency Management System (SEMS) and is intended to be used in conjunction with the *California Emergency Plan*, and other local emergency plans, to facilitate multi-agency and multi-jurisdictional coordination in flood emergency operations within ARFCD boundaries.

Although this is a public document, appendices to this FSP contain specific procedures to be followed in flood response. The appendices contain sensitive material, such as personal contact information. Therefore, they are not public documents in their complete form – they are subject to restricted-use handling procedures.

1.2 Scope

The ARFCD is an independent jurisdiction with responsibility for the operation and maintenance of the levee system within its jurisdictional boundaries and other levees for which the District may have maintenance responsibilities as determined by agreements with other entities. While the District will work with, and assist if possible, the local jurisdiction(s) responsible for other public safety functions within the District, this FSP only contains detailed procedures for ARFCD emergency responsibilities. This FSP will describe the interaction with other jurisdiction(s), but the operation plans of other jurisdictions with public safety responsibilities within the area protected by ARFCD levees are only referend in this document.

This FSP will cover the following:

- District flood preparedness procedures
- District levee patrol procedures
- District flood fight procedures
- District recovery and after-action procedures

1.3 Plans That Govern or Influence Flood Emergency Response within ARFCD's Boundaries

Emergency response plans that govern or influence flood emergency response with the ARFCD's boundaries are:

- State of California Emergency Plan (2009)
- State of California Governor's Office of Emergency Services, guidelines for Coordinating Flood Emergency Operations (1997)
- Sacramento County Emergency Operations Plan (2017)
- City of Sacramento Emergency Operations Plan (2005)
- City of Sacramento Comprehensive Flood Management Plan (2017)
- City of Sacramento, Office of Emergency Services, Evaluation Plan for Floods and Other Emergencies (2008)
- City of Sacramento Emergency Action Plan (2016)

2 Concept of Operations

2.1 Situation Overview

The ARFCD is in the Sacramento Valley. Areas adjacent to rivers, sloughs, creeks, and drainage canals and other low-lying areas are subject to flooding. State and local protective facilities, such as dams, bypasses, and levees, afford a level of flood protection; however, the flood events of 1986, 1995, 1997, and 1998 demonstrated that there is still a significant flood threat in the valley.

Sacramento County is vulnerable to many flooding sources caused by river floods, levee failures and/or overtopping, drainage pump failure, flood gate and/or closure structure failure, dam failure, flash and localized stormwater flooding. These may produce large losses to public infrastructure and private property. Deep flooding caused by levee failure or overtopping remains a significant threat to valley locations.

The local land use agencies and levee maintainers have the responsibility for operations and maintenance along with emergency preparedness during a flood event. For the Sacramento area, the Sacramento Area Flood Control Agency (SAFCA) works with State and Federal authorities for flood management. Within SAFCA's area of operation, the City of Sacramento, the ARFCD, Reclamation District (RD) 1000, and the State Department of Water Resources Maintenance Area 9 are responsible for levee maintenance and operations of the major levees that protect the urban area of Sacramento within the Sacramento and Sutter Counties. In addition to these entities, the U.S. Army Corps of Engineers (USACE) has authority under their Sacramento Bank protection program to assist the State with addressing long term bank protection projects along the Sacramento River and its tributaries.

The ARFCD is an independent special district in the central portion of Sacramento. The boundaries of the District generally follow the floodplain of the American River as identified at the time of District formation in 1927. The flood plain area provided protection by the District, shown in **Appendix D: Maps**, encompasses approximately 40 miles of levees along the American River and portions of Steelhead, Arcade, Dry and Magpie Creeks. The jurisdiction covers areas of North Sacramento and Sacramento south to Sutterville Road and 14th Avenue and areas of the County of Sacramento south of American River to Folsom Boulevard and Mayhew Road. The territory within the District boundary is characterized by flat and gently rolling land in the central portion of the city of Sacramento. The District provides flood protection to a specific geographic area.

The ARFCD is responsible for the following levee segments, drainage facilities, and flood control structures.

Facility Name	River/Stream	Location
Dry Creek North Levee	Dry Creek	Station 7000+00 to 7085+58
Robla Creek South Levee or Linda Creek levee or Dry Creek left Bank (south) levee	Robla Creek	Station 6000+00 to 6118+20
Natomas East Main Drainage Canal (NEMDC) East Levee	Robla Creek and Arcade Creek	Station 3055+86 to 3192+23
Arcade Creek north levee	Arcade Creek	Station 5000+00 to 5112+43
American River South Levee	American River	Station 1000+00 to 1552+45
Mayhew Drain Closure Structure	American River	Station 1552+45
Sacramento River east levee	Sacramento River	Station 1000+00 to 1020+85

2.2 General Approach to Seasonal Flood Operations

District personnel will carry out routine preparedness activities at the beginning of flood season as described in this section.

Flood response levels for the ARFCD will be based on river stage for both the American and Sacramento Rivers. On the American River, stages should be predictable for up to eight hours. On the Sacramento River system, depending on which dams are releasing the flows, advance warning of river stages may be as much as 24 hours. This section defines the specific level of commitment by the ARFCD for specific triggers.

Not all flooding in the jurisdiction may be based on river stage, refer to the City of Sacramento *Emergency Action Plan* (EAP) related to floods.

2.2.1 Routine Preparedness and Infrastructure Maintenance

District personnel perform the following routine flood preparedness actions:

- All levees are inspected weekly to determine the needed maintenance as well as to deter any unauthorized encroachments.
- All levees mowed multiple times during growing season. Often, due to late rains, the growth is vigorous and thick needing more attention than "average" years.
- Rodent control begins in spring with smoke bombing and progresses to baiting once the first mowing is complete and the wild food supply is reduced. Grouting is scheduled in early fall.
- Pre-emergent Herbicides are applied during the winter months to all roadways to ensure an all-weather road surface.
- Storm and weather related tree fall is removed.
- Minor erosion areas are identified and repaired as needed.
- All gates are checked and repaired and painted as needed.

- Post emergent herbicide is applied as needed to keep roadways clear and on slopes as needed to deter noxious weed populations from establishing.
- Roadways are resurfaced with fresh gravel prior to the start of flood season.
- Tree and brush trimming is completed during the winter months.
- Flood Emergency supplies and materials are checked and resupplied as needed. Supplies include, 9,000 empty sandbags, 2,000 filled sandbags, 4,500 feet of visquine, 7,000 tons of rip rap, as well as other material for flood patrol and fighting.
- All equipment is serviced and prepared for flood season.
- Annual flood fight training is conducted with the DWR and County of Sacramento CMID members.
- County CMID inspectors are on call to assist ARFCD in a flood emergency.
- Communications, including radios, satellite phones and cell phones are checked for proper operation.
- Contact lists are checked and updated.
- General Service agreements for emergency levee repair are updated with Teichert, Granite, and Nordic Construction.

2.2.2 Monitoring and Analysis

The District will monitor and analyze throughout the flood season the water conditions, elevations, and forecasts of rivers and creeks affecting the District's levees for promptly identifying heightened threats to the integrity of the levees and drainage systems. The objective of this monitoring is to identify conditions that warrant additional actions beyond routine flood season preparedness activities. The District's flood stage monitoring consists of observing the readings from specific real-time, telemetered stream gages that report the conditions on water courses that affect potential flooding in the jurisdiction. For each gage location on a stream or water course, stages or flows have been categorized into three levels: monitoring stage, danger stage, and flood stage.

The real-time gages can be accessed through the internet through the California Data Exchange Center (CDEC) within the California Department of Water Resources website (www.water.ca.gov). CDEC includes links to the National Weather Service and links to satellite photos. CDEC provides information on all of California's rivers and reservoirs. This allows direct monitoring of outflows at key dams affecting the District.

The Sacramento County also uses the Automated Local Evaluation in Real Time (ALERT) system for local creeks. ALERT was created by the National Weather Service to signal the City of Sacramento about possible flooding. ALERT provides continuous and automatic reports from river levels and rainfall gauges to help detect impending high water levels. The ALERT system website is maintained by Sacramento County and is located <https://www.sacflood.org>.

ARFCD Levee Patrol Plan

	Flows/Stage	Patrol Frequency by Reach	24-hr?	No. of Patrols (total staff)
American River	>10,000 to 35,000 cfs	4 hours entire system (Daylight hours)	N	
	>35,000 to 50,000 cfs	2 hours Sac River to Watt 4 hours upstream Watt	Y	
	>50,000 to 90,000 cfs	1 hour Cap City to H Street (L) 2 hour rest of system	Y	
	>90,000 to 115,000 cfs	1 hour downstream of Watt 2 hour upstream of Watt	Y	
	>115,000 to 145,000 cfs	1/2 hours Cap City of H Street (L) 1 hour rest of system	Y	
Sacramento River	25.0 feet at I Street	4 hours downstream Cap City	N	
	27.0 feet at I Street	2 hours downstream Cap City	Y	
	30.0 feet at I Street	1 hour downstream of H Street	Y	
Dry Creek	116.0 at Vernon Street	4 hours	N	
	38.0 at W. Branch/Elkhorn	4 hours	N	
	42.0 Main Branch/Elkhorn	4 hours	N	
	120.0 at Vernon Street	2 hours	Y	
	43.0 at W. Branch/Elkhorn	2 hours	Y	
	47.0 Main Branch/Elkhorn	2 hours	Y	
	124.0 at Vernon Street	1 hour	Y	
	43.0 at W. Branch/Elkhorn	1 hour	Y	
	47.0 Main Branch/Elkhorn	1 hour	Y	
Arcade Creek	58.0 Watt S/O Longview	4 hours	N	

ARFCD Levee Patrol Plan (Cont.)				
	Flows/Stage	Patrol Frequency by Reach	24-hr?	No. of Patrols (total staff)
	35.0 1659 Arcade	4 hours	N	
	25.0 Arcade @ NEMDC	4 hours	N	
	60.0 Watt S/O Longview	2 hours	Y	
	37.0 1659 Arcade	2 hours	Y	
	28.0 Arcade @ NEMDC	2 hours	Y	
	62.0 Watt S/O Longview	1 hours	Y	
	40.0 1659 Arcade	1 hours	Y	
	30.0 Arcade @ NEMDC	1 hours	Y	
Magpie Diversion	73.0 Watt S/O Roseville Rd	4 hours	N	
	Raley Blvd – Shoulder inundated	4 hours	N	
	75.0 Watt S/O Roseville Rd	2 hours	Y	
	Raley Blvd – Impassable	2 hours	Y	
	78.0 Watt S/O Roseville Rd	1 hour	Y	
	Raley Blvd – Outflanks	1 hour	Y	

2.2.2.1 Flood Season Monitoring (Normal Conditions)

During flood season and under normal conditions, the District conducts the following monitoring:

- Monitor reservoir levels weekly or more frequently as necessary
- Contact the FOC and the USACE to report encroachments
- Monitor weather reports on a daily basis
- Monitor river levels on a regular basis (or two or three times per week)

2.2.2.2 Flood Season Monitoring (Adverse Weather Conditions)

During flood season and under adverse weather conditions, the District conducts the following monitoring:

- Monitor weather reports/radar several times per day
- Monitor river/stream levels as necessary to initiate levee patrols at pre-designated stages
- Monitor reservoir levels on daily basis (or more often if significantly encroached)
- Monitor reservoir release schedule on daily basis once levee patrols are initiated (and more often during significant flood events)
- Participate in daily conference calls with County Office of Emergency Services

Flood response levels and monitoring patrol frequency for the District are based on river stage. Levee patrol frequency by river stage is described in Section 2.2.2.

2.2.2.3 Levee Monitoring

During flood season and under adverse weather conditions, the District takes the following levee monitoring actions:

- Notify staff when levee patrol operations requiring 24-hour monitoring are anticipated and adjust work schedules to accommodate
- Initiate levee patrols at pre-designated river, stream, or reservoir level
- Follow the ARFCD Levee Patrol Plan (**Appendix B: Levee Patrol Plan**)
- Notify outside levee patrol staff 72 hours in advance of need for assistance, if possible
- Determine the need for additional levee patrol assistance and potential sources of support

2.2.3 Alerting, Activation and Initial Response

The following actions will be taken when the trigger condition is identified by District staff. These actions may also be taken by District staff at any time it is felt that conditions affecting the levees warrant such action.

After compiling monitoring and surveillance information, the ARFCD decides if it is necessary to begin flood operations or direct flood fight resources to specific areas where flooding is occurring or may occur soon. District staff also monitor the flood stage information or monitoring system and are in constant communication with flood control staff throughout the storm episode.

The following actions are taken depending on the severity of flood conditions. District staff may take these actions at any time it is felt that conditions affecting the levees and drainage system warrant such action.

- Alert the Board of Trustees and District staff
- Appoint an Incident Commander for the District
- Activate staff, notify contractors, and initiate levee-monitoring protocols as defined in Levee Patrol Plan. (**Appendix B: Levee Patrol Plan**)
- Make notifications to the City and County
- Contact DWR Flood Operations Center (FOC)

The District does not use “phases”, where objective conditions trigger a group of actions. Each action indicated will be taken when District staff feels it is warranted, based on river stages and levee integrity. The District Superintendent and District General Manager are responsible for monitoring objective conditions affecting the District.

District staff will take all of the above actions on identification—or verified report—of any out-of-the-ordinary condition on a District levee that presents a potential risk of failure.

If conditions exceed their capabilities on any of the levee systems, the District will call the Sacramento County or DWR for technical assistance. If conditions continue to worsen, the District may contact Sacramento County for mutual aid resources. The DWR FOC may request support from the USACE under PL 84-99.

As coordinated operations continue, local jurisdictions will brief their administrators. These positions often serve as the Directors for Emergency Operations at the Emergency Operations Center (EOC). Depending on the flooding situation, the EOC will be activated and staff will respond to the EOC to coordinate OA response to the disaster with other agencies.

The DWR FOC may also be made operational. County EOCs remain operational until the threat from flooding is contained and controlled.

2.3 Public Alert and Warning

The jurisdictions identified below have the responsibility for providing emergency response to the general public within the ARFCD boundaries. The District will promptly notify these jurisdictions of identified concerns with their levees in accordance with the Sacramento County OA protocols and will provide detailed information on the characteristics of the threat.

- Sacramento County Office of Emergency Services
- Sacramento County Sheriff’s Department

The ARFCD will coordinate operations with these jurisdictions/agencies through the Sacramento OA. District staff will assist, to the extent possible, with public safety actions if requested. Response producers for the above public safety agencies will be found in agency emergency plans.

2.4 Emergency Response Actions

The District emergency organization is mobilized to cope with specific situations. Each unit, when mobilized, operates according to the provisions of this FSP. Priority is given to operations such as the following:

- Survey and evaluate the emergency situation and advise the Sacramento OA EOC and the FOC
- Mobilize, allocate, and position District personnel and materials for levee monitoring and flood fighting
- Notify flood emergency contractors
- Establish staging areas for personnel, supplies, and equipment
- Produce and disseminate emergency information
- Protect, control, and allocate vital resources
- Submit requests for resources and assistance
- Restore or activate essential facilities and systems

The preceding actions are based on extensive local coordination of plans and response. Also, there are daily briefings facilitated by DWR from the FOC involving all impacted agencies. When local resources are committed to the maximum and additional materials or personnel are required to control or alleviate the emergency, requests for resources are initiated through the Sacramento OA EOC.

2.5 Flood Fight Operations

Flood fight operations, including levee patrol and repair, are conducted in accordance with the procedures in this FSP. Operations and response procedures are modified as needed by the District Incident Commander to meet the demands of actual emergency conditions. Both the City and the County have Emergency Evacuation Plans and are responsible for warning and evacuation within the District. An inventory of flood fight supplies may be found in **Appendix C: Flood Fight** Resource Inventory. Flood fight operations, including levee patrol, will be conducted in accordance with the procedures in **Appendixes B and C**.

2.6 Evacuation

Certain flood threats to the District, as they grow in severity, may require evacuation of populations of residents and/or visitors. The evacuation planners need to determine the lead-time needed to get the necessary resources deployed to the field and the estimated time to conduct a floodplain evacuation. Determination of the proper lead time is made as part of the initiation coordination calls with the Sacramento OA and DWR. Examples of these flood threats may include:

- Weather reports that include flood watches or warnings and/or storms that may bring large amounts of rain
- Reservoir release forecasts that equal or exceed downstream safe levee capacity
- Active river bank erosion that is threatening levee stability
- Dam failure advisories for dams anywhere along the Sacramento River, American River, or Cosumnes River watersheds
- Levee breach advisories for levees protecting District populations

When these conditions threaten the District, the District notifies threatened jurisdictions (i.e., the City and the County). After the decision to evacuate is reached, the City and the County coordinate with the District to manage the evacuation process so as not to affect emergency response activities. Coordination of evacuation efforts in the County is managed from the Sacramento OA EOC, and the coordination of evacuation efforts in the City is managed from the City of Sacramento Emergency Operations Center (City EOC). Additional information about evacuation is provided in the Sacramento County *Evacuation Plan* and the City of Sacramento *Evacuation Plan*.

2.7 Recovery

An effective recovery requires coordinating with several government agencies over an extended period. Recovery activities may include:

- Organizing files from emergency operations
- Gathering pictures, memos, notes, and other written information from those involved in the emergency response
- Creating a list of outside contacts made during response, including resource and regulatory agency contacts
- Organizing the contracts executed, invoices from contractors/material suppliers, and documented labor costs from the emergency response
- Initiating claim procedures with FEMA and the California Governor's Office of Emergency Services (Cal OES)
- Conducting a post-flood survey of the District's flood control system to determine areas needing immediate emergency repairs
- Determining if the District has the financial resources to undertake repairs; if not, seeking assistance from State and USACE (under Public Law 84-99 or other appropriate State or Federal program) to implement immediate repairs
- Conducting a post-flood-season survey to determine which sites were not addressed by the post-flood survey but need to be repaired before the next flood season

Other recovery activities may include:

- Rebuilding levees
- Dewatering protected areas - reference City of Sacramento *Emergency Action Plan*
- Clearing debris
- Demolishing unsafe structures
- Re-entering of District residents
- Performing research to uncover residual hazards, to advance knowledge of disaster phenomena, and to provide information to improve future flood

2.8 Federal and State Emergency and Disaster Assistance

The ARFCD may maintain mitigation and emergency plans and procedures, as well as, the physical condition of its levees, at the level required to be eligible for disaster assistance under the Federal Stafford Act program as well as the California Disaster Assistance Act (CDA). Emergency operations will be conducted and documented in compliance with conditions of these programs for reimbursement of disaster expense.

State and federal support during the Emergency Phase:

To ensure that the district takes steps to quickly access the recovery process, these actions should be considered if an incident is imminent or occurring:

- The ARFCD in coordination with SAFCA and Sacramento County staff will request the County to proclaim the existing of a local emergency and notify ARFCD staff when the proclamation is established.
- The ARFCD in coordination with Sacramento County may consider requesting Cal EMA and DWR support during the Emergency Phase. California Mutual Aid and USACE assistance are available when resources beyond local capability are needed for flood fight operations.

Emergency Phase support following flooding:

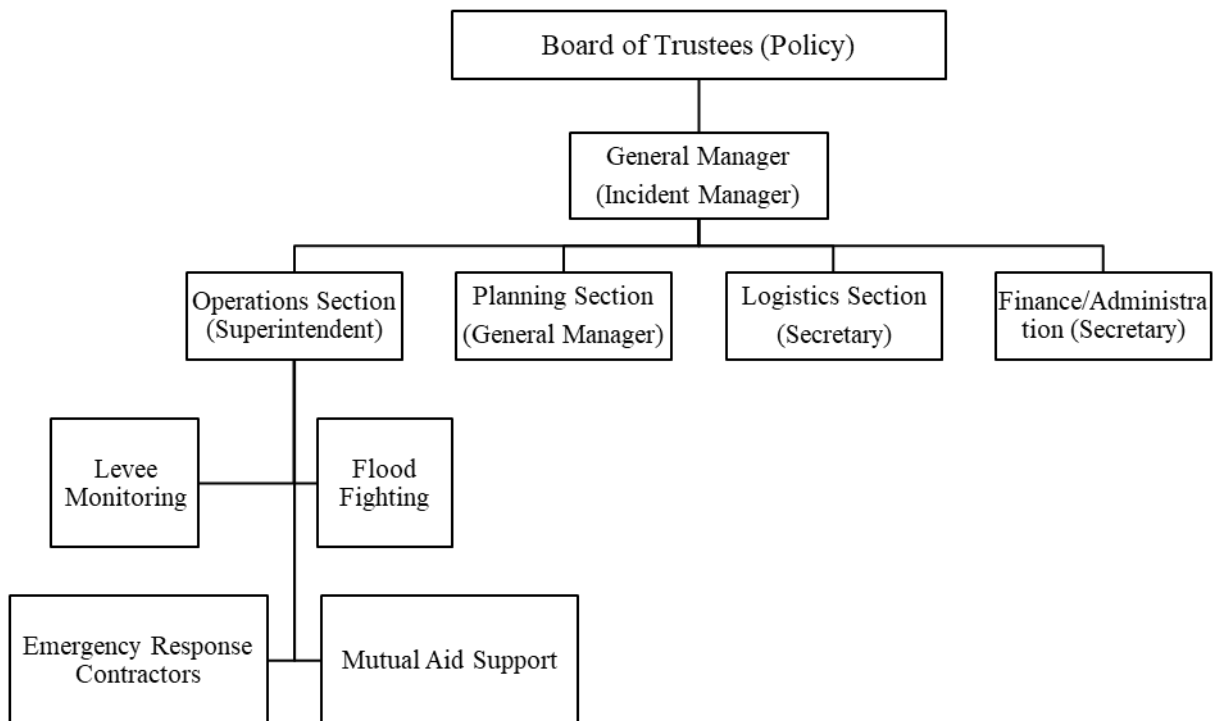
- If the County declares a disaster, the Governor may support it by proclaiming a State of Emergency and then requesting the President make a National Disaster declaration for the affected area.
- If the President declares the area a national disaster, assistance from the Federal Emergency Management Agency (FEMA) will be requested.
- If residential flooding occurs, regardless of the declaration, USACE can provide federal funds for recovery operations for up to 30 days following the incident.

- USACE assistance can also be requested to repair eroded and damaged levees following high flows. Request for this authority must be made in a timely manner (30 days).

3 Organization and Assignment of Responsibilities

3.1.1 Levee Flood Control Operations

The District will use its paid and contract staff to perform its responsibilities in a flood emergency. The District can request mutual aid and coordinates with the Sacramento County OA during flooding episodes.



3.2 Key Designated Roles

The ARFCD Board of Trustees (Board) has made the following assignments of authority and responsibility to ensure that needed emergency actions can be taken promptly and efficiently. Annually, the Board designates responsibility to the General Manager for Emergency Operations.

3.2.1 Legal and Financial Authority

Once the Board has concurred that a local emergency is occurring, any one trustee and the District General Manager are authorized to (1) make a legal or financial commitment on behalf

of the District during emergency operations and (2) purchase additional flood fight supplies or materials. Even without prior Board concurrence that a local emergency is occurring, the General Manager can take these actions on recognition of a threat to levee integrity, but in this case the Board must be notified of the action within 24-hours.

The District General Manager is authorized to sign written contracts with private vendors or other public agencies stemming from emergency actions, as described above.

3.2.2 Multi-Agency Coordination Group Representation

The District Superintendent is authorized and responsible for representing the District in the unified field-level incident command that may be established by the Sacramento OA. The District Superintendent is also responsible for representing the District at the Sacramento OA management group. The District Superintendent may speak for the District in matters of the condition of District levees, input to protective action decisions being made by public safety agencies, and any requests to modify or conform the District's response that come out of the multi-agency coordination process.

3.2.3 Public Information and Risk Communications

If required, the District General Manager is authorized to speak to the media on behalf of the District as part of the Sacramento OA Joint Information Center (JIC). The District also updates its website with information related to District activities.

Although the District does not have a dedicated Public Information Officer (PIO), the General Manager will coordinate with the City of Sacramento (City) and the County to get critical information to the public. The City and the County have PIOs that will manage the dissemination of information to the public, either through press releases, press briefings, or social media.

3.2.4 Evacuation

The City is responsible for coordinating the evacuation of residents and visitors in the District. The City Manager has the authority to issue evacuation recommendations and the City Police Department manages the evacuation. The City of Sacramento Evacuation Plan describes the Concept of Operations for evacuation in the City limits. The City is responsible for the following regarding evacuation:

- Recommending evacuations for all or part of the population from a threatened or impacted area if considered necessary for preservation of life, property, or the environment
- Prescribing routes, modes of transportation, and destinations in connection with evacuation
- Controlling ingress and egress from a disaster area, the movement of persons, and the occupancy of premises in the area

3.2.5 Maintaining Emergency Equipment, Supplies, and Resources

The District Superintendent is authorized to maintain District equipment, supplies, and resources for emergency response and is responsible for doing so. The Superintendent ensures that supplies are maintained at inventory levels set by the Board or at any minimum levels that may be set by DWR guidance or statutes.

3.2.6 Monitoring Levees, Water Conditions, Elevations, and Flood Forecasts

The District Superintendent is responsible for monitoring levees, water conditions, elevations, and forecasts for identifying conditions warranting additional action beyond routine flood preparedness as outlined in this plan.

3.2.7 Emergency Staff Activation

The District General Manager and District Superintendent are authorized to activate—and are responsible for doing so—District staff and/or flood response contractors and resources; to request Mutual Aid assistance from (or provide it to) public agencies; and to supervise District staff, contractors, and/or Mutual Aid resources assigned to the District for (1) levee patrol, (2) flood fight operations, and (3) District de-watering operations (if applicable).

3.2.8 Documentation

The District Office Manager is authorized to maintain necessary documentation of emergency expenditures, damage to District infrastructure, and use of supply inventories in accordance with the requirements of Federal and State disaster assistance programs and is responsible for doing so.

The District Office Manager, under the authority of the District General Manager, is also authorized to prepare and submit disaster assistance claims during the recovery period through all Federal and State disaster assistance programs that may be applicable and relevant to District costs and is responsible for doing so.

3.3 Responsibilities of Supporting Agencies

During a levee breach and/or flood fight operation, the District may request support from other agencies. These agencies and their responsibilities are identified below.

3.3.1 California Department of Water Resources

The mission of DWR's Division of Flood Management is to prevent loss of life, reduce property damage caused by floods, and to assist in recovery efforts following any natural disaster. The State-Federal FOC, which is in Sacramento, is a component of Division of Flood Management's Flood Operations Branch. Year-round, the FOC is the focal point for the gathering, analyzing, and disseminating of flood- and water-related information to stakeholders. During emergency situations, the FOC provides a facility from which DWR can centrally coordinate State-wide emergency response.

When streams and rivers are forecast to rise above certain pre-determined stages (water surface elevations) or flow rates, FOC personnel make high-water notification calls to appropriate flood system LMAs and emergency response agencies.

DWR also provides staff to the California State Reclamation Board; assists local flood control districts, particularly during flood events; monitors river and reservoir levels; and operates the FOC as described above. In addition, DWR is responsible for operation and maintenance of a number of levees in the Central Valley through State Maintenance Areas and a number of dams and reservoirs. DWR also has a significant role in water supply.

3.3.2 U.S. Army Corps of Engineers

When a disaster exceeds the capabilities of State and local interests, the USACE may provide assistance under Public Law 84-99 to save human life, prevent immediate human suffering, or mitigate residential and commercial property damage. USACE assistance may include acquisition of flood fight materials, geotechnical evaluation of levees and other flood operations structures, contracts for emergency flood fight and temporary repairs, clearance of drainage channels or blocked structures, technical assistance for development of plans, and, on request, inspection of non-Federal dams and flood control projects. USACE also has jurisdiction over storage capacity seasonally reserved for flood control on most major reservoirs throughout California.

3.3.3 California Data Exchange Center

The California Data Exchange Center (CDEC) provides a centralized database to store, process, and exchange real-time hydrologic information gathered by various cooperators throughout the State. CDEC disseminates this information to the cooperators, governmental and private agencies, news media, and the general public. The data collected by CDEC enables forecasters to prepare flood forecasts and water supply forecasts, reservoir and hydroelectric operators to schedule reservoir releases, water suppliers to anticipate water availability, and flood emergency personnel to prepare and disseminate flood hydrology data and reports.

CDEC formats and manages data for public use via the Internet. Its extensive website is accessible to flood emergency personnel, private and public agencies, news media, and the general public. Valuable information is created from the data and presented in a variety of formats, including maps, plots, charts, and publications. The website is a useful and effective tool for monitoring current flood conditions and provides real-time information, including river stages, precipitation, snow water content, temperature, water quality, and full weather data.

3.3.4 State of California Central Valley Flood Protection Board

The State of California Central Valley Flood Protection Board oversees flood control activities in the Central Valley. It serves as the local sponsor to the USACE on Federal flood control projects, cost-shares in the projects, holds title or easements to the lands underlying the projects, and inspects the operation and maintenance of the facilities by the local flood control and reclamation districts. The board is the regulatory authority about any proposed activity that could affect the flood control system.

3.3.5 City of Sacramento Department of Utilities

The City of Sacramento Department of Utilities (DOU) primarily operates and maintains water and wastewater systems, including local drainage systems, which consist of storm drains, culverts, pumping stations, and channels with levees. These drainage systems pump water into the levee systems. Also, DOU operates and maintains local levees and the portions of the Sacramento and American River levee systems that are outside the boundaries of the ARFCD.

3.3.6 County of Sacramento Department of Water Resources

The County of Sacramento Department of Water Resources (County DWR) provides drainage, water supply, and flood control services to areas within their jurisdiction. County DWR consists of a Drainage Division and a Water Supply Division, with the Drainage Division Maintenance Engineering Section having primary responsibilities in flood operations. During storm events, County DWR activates a Department Operations Center (DOC) and a Field Support Operations Center (FSOC) and provides staff to the County of Sacramento Emergency Operations Center (County EOC) to coordinate activities and share information. County DWR staff actively monitor rainfall and stream flow conditions through the County Automated Local Evaluation in Real Time (ALERT) gage system, provide field crews for emergency maintenance and levee patrols of several small County-maintained levees, and assist emergency personnel in flood-related activities. County DWR field crews respond to service calls made to the 875-RAIN dispatch center related to localized flooding throughout the County and have primary responsibility for carrying out the operation and maintenance of pipe, pump, and channel drainage systems.

County DWR serves as the floodplain management agency for the County. As such, the agency is instrumental in preparing a County-wide perspective on flood preparedness and flood fight efforts in the area. County DWR plays a key role in gathering, analyzing, vetting, and disseminating weather forecast and water level information County-wide and communicates this information directly to potentially impacted parties, such as Reclamation Districts (RDs), incorporated cities, and local communities. County DWR also provides assistance to RDs in the form of levee patrol support crews and water removal through pump stations.

County DWR also maintains the County's Storm Ready Program, which informs the public about flood safety and actions that should be taken during a flood threat.

3.3.7 County of Sacramento Office of Emergency Services

The County of Sacramento Office of Emergency Services (County OES) has responsibility for administering the emergency management program for the County. As part of this responsibility, County OES supports the operation of the Sacramento OA Emergency Operations Center (OA EOC), issues warnings and notifications, provides subject matter expertise on and maintenance of emergency response plans, and coordinates requests for resources and assistance when the OA EOC is not activated.

4 Direction, Control, and Coordination

4.1 Management and Control of District Operations and Coordination within the District

District staff authorized and responsible for carrying out the actions use the direction, control, and coordination processes described in this chapter.

District staff apply the Incident Command System (ICS) and SEMS to organize District response activities, manage field-level response activities, and coordinate with supporting agencies.

The General Manager serves as the Emergency Manager for the District during emergency operations. The General Manager supports the Incident Commander and coordinates with the City when additional assistance is needed and to share critical information.

4.2 Management and Policy

The District maintains direction and control of District operations during emergency periods. The District Board of Trustees meet and confer as deemed necessary by the President during emergency operations to perform its policymaking and financial responsibilities during emergency response operations. Board meetings occur in the field or, if needed, at the office of the District.

The Board President issues Delegation of Authority letters as required.

4.3 Incident Commander

The Incident Commander at the flood fight scene is in charge of all resources responding to that emergency site. The Incident Commander may assign missions to flood fight crews acquired under Mutual Aid from other governmental agencies, tasking them to perform specific actions to facilitate the response.

The District Superintendent serves as Incident Commander to manage all incidents occurring on the District levee system during any single disaster event as allowed in the NIMS protocols. The District operates on a 24-hour operational period. If necessary, the Incident Commander requests assistance from the District General Manager.

4.4 Management and Coordination with Other Jurisdictions

During a flood threat incident, the District maintains regular communication with the FOC, the City EOC, and the County OA EOC. Through the FOC (and information on the DWR website), the District provides updates on the conditions of the levees and receives information about the reservoir levels and anticipated releases. The District may also seek technical assistance on handling levee problems. The FOC has representatives from the National Weather Service, U.S. Bureau of Reclamation, and USACE available to provide information and assistance. The City

EOC coordinates the local emergency response. The District provides regular updates on the conditions of the levees and observed river levels. The District may also ask for assistance (e.g., traffic or crowd control or other emergency response) from law enforcement and/or fire departments through the OA.

For flood threats, a multiagency coordination (MAC) group may be established to share information and facilitate the coordination of resource requests. The City, County or State depending on how widespread the flood threat is can facilitate the MAC Group. The MAC Group includes the participation of representatives from all agencies that have an active role in the coordinated flood response. The MAC Group can meet in person, but is commonly convened as a conference call on a pre-set schedule.

Either as part of MAC Group participation or through direct communication with the City and/or County, the District will provide updates on the conditions of the levees and observed river levels. The District may also request assistance (e.g., traffic or crowd control or other emergency response) from law enforcement and/or fire departments through the Sacramento County OA.

4.5 Sacramento Operational Area Emergency Operations Center

The County maintains and hosts the Sacramento OA EOC at 3720 Dudley Boulevard, McClellan, CA. The Sacramento OA EOC prioritizes the allocation of resources, including Mutual Aid; performs information sharing; and conducts coordination processes in accordance with the MAC system procedures maintained by the County OES.

The Sacramento OA Planning Section provides disaster intelligence and situational status to participating jurisdictions on activation in an emergency. The District participates as needed in this disaster intelligence and information-sharing process.

The District General Manager participates in the Sacramento OA MAC system processes and procedures on behalf of the District.

4.6 State-Federal Flood Operations Center

DWR has special authority under California Water Code Section 128 to assist RDs with flood fight operations. DWR maintains the FOC to coordinate the performance of these functions and support the operations of other State and Federal agencies.

The District coordinates with the FOC to share information and to notify DWR of requests submitted to the Sacramento OA for resources and technical assistance. The District communicates with the FOC through telephone systems or at MAC activities where FOC representatives are present.

4.7 Sacramento Operational Area Joint Information Center

When necessary, a JIC is established to coordinate the handling of Emergency Public Information operations for the County and the OA. A JIC is established at a suitable location (removed from the EOC, but in close proximity to it) to provide for effective management of Emergency Public Information functions. When activated, the JIC is staffed by personnel trained

to conduct Emergency Public Information activities, including coordinating inter-jurisdictional media releases and the management of rumor control functions. When necessary, the District General Manager coordinates with the JIC to share information with the public.

4.8 Plan Activation Authority

The District Board of Trustees and the District General Manager have the authority to activate this FSP based on the emergency situation.

4.9 Disaster Intelligence

During river and levee monitoring and flood fight operations, the District collects disaster intelligence to evaluate the situation and provides updates to supporting agencies. Disaster intelligence is the means, the tools, and techniques the District uses to identify, collect, analyze, and disseminate information on the current and future extent and consequences of a flood. Intelligence is shared primarily with the City EOC, the Sacramento OA EOC, and the FOC.

4.10 Weather Forecast

The advent of satellite imagery and sophisticated computer models has significantly improved the ability to forecast the times and intensities of rainfall. Managing flood response requires knowledge and understanding of the implications of weather predictions for other parts of the watershed and the local area. The National Weather Service provides daily briefings on upcoming weather as part of its role in the FOC. The District participates in these briefings starting at the River Advisory Stage.

4.11 River Forecast

In addition to precipitation forecasts, the District General Manager must also know how the resulting runoff affects reservoir storage, releases from dams, and ultimately the amount of water flowing in the river. Hydrologists for DWR work with the National Weather Service in the California-Nevada River Forecast Center (CNRFC) to provide twice-daily forecasts of river height at various points. These forecasts are issued as “River Bulletins,” and the District subscribes to DWR’s email distribution system. Also, the District regularly reviews the website of the CDEC, which provides data on reservoirs, rivers, and rainfall (<http://cdec.water.ca.gov/>).

4.12 Levee Patrols

As important as it is to anticipate the potential situation, it is equally as vital to be aware of current conditions and sudden shifts in those conditions. The District Superintendent maintains regular contact with levee patrols. This contact ensures that the District quickly learns of any changes in the situation, facilitating prompt response. Levee patrols are defined in Levee Patrol Plan, in **Appendix B**.

5 Communications

5.1 Communications Organization

During day-to-day operations and flood response operations, District staff, contractors, and other staff working under District supervision must be able to communicate and share information. At a minimum, the District must be able to communicate internally with other public agencies operating within the District, neighboring RDs, the Sacramento OA EOC, and the FOC.

5.2 District Communications

The District operates communications equipment on a limited basis, including the use of Satellite phones; landlines – both digital and analog; fiber optic cables, and emergency radios. The District relies on the personal cell phones of its staff and trustees to maintain communications between the District Board of Trustees, the District General Manager, the District Superintendent, and other response staff that may be hired during the emergency period. In the event of a failure of cellular telephone systems, the District will use messengers to transmit information between its staff and other jurisdictions and regularly scheduled coordination meetings of the field unified commands and the Sacramento OA organization.

5.3 Communicating with Other Jurisdictions

The District maintains communications with other jurisdictions by cellular telephone and by participation in meetings of the Flood Fight Incident Command and MAC groups.

5.4 Sacramento Operational Area Emergency Operations Center

The District maintains communications with the Sacramento OA EOC by cellular telephone and participates in scheduled meetings of the MAC groups. The District maintains telephone numbers assigned by the OA for use by RDs (see **Appendix A: Emergency Contact List**).

5.5 State-Federal Flood Operations Center

The District communicates with the FOC by cellular telephone.

5.6 Public Alerting Systems

Public alert and warning is necessary to increase public awareness of an impending threat and to provide clear instructions should an emergency situation require the need for evacuation. In fact, the vital first step of a successful evacuation from the District would be timely public alerting that allows the public the opportunity to safely move to non-impacted areas.

During public alert and warning, the District promptly notifies the City of Sacramento Office of Emergency Services (City OES) or County OES, depending on the jurisdiction impacted. Both the City and the County are responsible for alerting and warning the public on identification of a

threat to District levees. The District provides detailed information about the characteristics of the threat and assists, to the extent possible, with notification of the public if requested. All alerting and warning of the public are carried out in accordance with the plans of protected jurisdictions.

When multiple jurisdictions are impacted, alerting and warning are conducted jointly by these jurisdictions through the Sacramento OA using the procedures contained in the Sacramento OA EOP. The District provides support to the OA and JIC to assist with alert and warning messages if requested.

The City and County use several methods to notify the public of an evacuation request. These methods include:

- Emergency siren system
- Emergency alert system (EAS)
- Media hotline and media release
- Reverse 9-1-1 system
- 2-1-1 Sacramento
- Fire and police vehicle loudspeakers
- County Information Services: Sacramento County Information Center and County Operator
- Vulnerable population databases, neighborhood watch programs, and other community support programs
- Neighbors alerting neighbors

People with disabilities and access and functional needs are notified by support service agencies. Also, the City Operator and the 3-1-1 system are available for the notified public to call for more information.

Those who are evacuating throughout the County or out of the County continue to receive information as to road conditions through the California Department of Transportation (Caltrans) 5-1-1 system for highway conditions, Caltrans changeable message signs, and via EAS on local radio.

5.6.1 Emergency Alert System (EAS)

The EAS is a network of public and private broadcast stations and interconnecting facilities. The system is authorized by the Federal Communications Commission (FCC) to operate in a controlled manner during a war, state of public peril or disaster, or other national emergency.

The system is used within Sacramento County on a voluntary basis during day-to-day situations that pose a threat to the safety of life and property. Sacramento County uses a commercial

broadcast facility – (radio KFBK or television KCRA) – as the central point of information dissemination under the EAS format. Access to EAS is coordinated through the Sacramento County Office of Emergency Services. (Please refer to Appendix D Evacuation).

The City of Sacramento manages the Emergency Alert System and is described in their City of Sacramento Evacuation Plan

5.7 Protocols for Contacting Levee Patrols

Initial contact with the Levee Patrol Team(s) shall be in accordance with the Emergency Contact List (**Appendix A**). Generally, communications with Levee Patrol Teams will be through the General Manager.

5.7.1 Other Communications Protocols

All other communications shall be in accordance with the Incident Communications Plan, as documented on Incident Command System (ICS) forms ICS 204 and ICS 205.

6 Administration, Finance, and Logistics

6.1 Mutual Aid

The ARFCD has mutual aid agreements with the City and the County to provide supplemental staff during floods for round-the-clock levee patrols. The District has also signed agreements with local contractors, who are ready to respond 24 hours per day, 7 days per week, with trained personnel, equipment, and material (such as rock, aggregate base, sand, and fill dirt) if a levee is threatened. Relying on these agreements with the City, the County, and local contractors allows the District to provide services efficiently with a high level of reliability.

6.2 Record Keeping

The District General Manager tracks, records, and reports on the work time of all District flood response personnel, including that of flood emergency contractors. The District General Manager collects and maintains documentation on all emergency information needed for reimbursement by Cal OES or FEMA. The ARFCD retains these records for audit purposes for 3 years after receiving a final Cal OES or FEMA close-out letter. Examples of documentation that should be retained include:

- Timesheets and payroll records
- Equipment ownership and usage
- Equipment rental agreements and invoices
- Invoices/receipts for materials and supplies
- Contract documentation such as procurement information, executed contracts, amendments and change orders, and payment records

6.3 Resource Tracking

Comprehensive resource management is a key management principle. It implies that all assets and personnel during an event need to be tracked and accounted for. Resource tracking ensures maintenance of accountability over all resources. Thus, resources can be moved quickly to support preparation and response to an incident and ensure a fluid demobilization.

Resource management involves coordinating and overseeing the acquisition and deployment of tools, supplies, equipment, and people during a flood. The objectives of resource management are to (1) maximize efficient resource use while maintaining cost-effectiveness and resource safety; (2) consolidate control of single resources to reduce communications activity; and (3) instill resource accountability. Resource management enhances the benefit of Mutual Aid agreements and improves interoperability.

Flood response resources include (1) personnel or equipment to perform a specific operation; and (2) supplies and facilities to support on-scene incident operations. The District Office Manager tracks the use of and maintains records on the resources applied to flood response.

6.4 Resources

The District maintains an inventory of flood fight supplies. The inventory is found in **Appendix D: Flood Fight Resource Inventory**.

6.5 Flood Response Contractors

Should a problem be identified on the levees, the District uses resources from the City or County to monitor specific locations as necessary. If the problem requires action such as reinforcing the levee by placing dirt, sandbagging a boil, or armoring a levee slope with rock and visquine, the District has flood emergency response agreements executed with several local contractors. These agreements provide for an immediate response 24 hours per day, 7 days per week. The companies currently under contract have extensive experience in providing similar emergency flood services. Determinations of the appropriate action are made by the District General Manager with input from local levee experts, the State Flood Fight Specialist, and engineers from USACE. Full-time monitoring and record keeping are performed by County construction inspectors.

The District maintains standard forms and processes for initiating and executing contracts with private vendors. The District maintains a standard contract form for contracts under \$25,000 in a no-bid environment. The District maintains a separate contract form for contracts over \$25,000, adding a bonding requirement. Contracts over \$25,000 are awarded through an informal bid process.

6.6 Logistics Facilities

See **Appendix C** for the locations of pre-planned delivery points, the locations of District supplies, and District supply staging areas and points.

6.7 Finance and Administration

The District maintains financial and administrative records associated with emergency response in accordance with Title 44 Code of Federal Regulations Part 13, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Emergency response and construction records, including field reports and procurement and construction management files are maintained by both the District and the District Superintendent and are retained as prescribed by the grant authority.

Also, in anticipation of a flood emergency, the District has established a Flood Fight Reserve Fund. Currently, the fund has approximately \$1 million, which is estimated to be sufficient for a 2- to 3-day flood fight.

7 Plan Development and Maintenance

7.1 Plan Development, Review and Maintenance

The General Manager has primary responsibility for developing, reviewing, and updating this FSP on a regular basis. The General Manager will request input from individuals, jurisdictions, and agencies having responsibilities under this plan.

Every four years this plan will be reviewed in its entirety, updated, republished, and redistributed. This plan also may be modified whenever responsibilities, procedures, laws, rules, or regulations pertaining to emergency management and operations change.

- Jurisdictions and agencies having assigned responsibilities under this plan are obligated to inform the General Manager when changes occur or are imminent.
- These changes will be incorporated into this plan, published, and distributed to jurisdictions and agencies holding this plan (see Distribution List).

7.2 Training and Exercises

All emergency responders from ARFCD are strongly encouraged to take advantage of FEMA's on-line training. In addition, the General Manager of ARFCD will notify holders of this plan of training opportunities or scheduled exercises associated with flood emergency management and operations, such as DWR's annual Flood Fight sessions. Individual jurisdictions and agencies are responsible for maintaining training records. This plan will be exercised regularly. The General Manager will conduct emergency preparedness exercises in accordance with an annual exercise schedule. Jurisdictions and agencies having assigned responsibilities under this plan must ensure assigned personnel are properly trained to carry out these responsibilities.

7.3 Evaluation

The General Manager will coordinate and facilitate post-incident analyses following emergencies and exercises. An After-Action Report (AAR) and Implementation Plan will be prepared by General Manager and distributed to those jurisdictions and agencies involved in the emergency or exercise. The Board of Trustees will review and approve the AAR which will briefly describe District operations, any response problems that arose, and damage sustained by the District levees and infrastructure. The AAR will also contain recommendations for improving flood emergency operations in the future. The Board provides direction to staff on the preparation of changes, additions, or revisions to the District FSP.

8 Authorities and References

The following sources provide authorities for planning, conducting, and/or supporting flood emergency operations.

8.1 Federal

- Federal Civil Defense Act of 1950 (Public Law 920, as amended)
- Robert T. Stafford Disaster Relief and Emergency Assistance Act of 1988 (Public Law 93-288, as amended)
- Army Corps of Engineers Flood Fighting (Public Law 84-99)

8.2 State

- California Emergency Services Act (Chapter 7, Division 1 of Title 2 of the Government Code)
- Standardized Emergency Management System (SEMS) Regulations (Chapter 1 of Division 2 of Title 19 of the California Code of Regulations) and (California Government Code §8607 et sec)
- Hazardous Materials Area Plan Regulations (Chapter 4 of Division 2, Title 19, Article 3, §2720-2728 of the California Code of Regulations) and (California Health and Safety Code, Division 20, Chapter 6. 95, Section 25503. 5)
- California Department of Water Resources Flood Control (California Water Code §128)

8.3 Local

- Resolution of the Sacramento City Council adopting the Flood Emergency Response Services with ARFCD, dated December 1, 2004.

Emergency Contact List

Company	Name	Office	Cellular	After Hours
Other				
RD 1000	Paul Devereux	922-1449	417-4170	417-4170
SAFCA	Rick Johnson	874-8737	261-6675	530-677-5285
	John Bassett	874-8731	704-8731	780-7421
	Pete Ghelfi	874-8733	207-1521	207-1521
RD 900	Tony Schwall	371-1483		684-2262
	Kenric Jameson	371-1483		718-9875
RD 1001	Drew Stressor	530-656-2318	530-335-6359	530-674-0165
Natomas Basin Conservancy	John Roberts	649-3331	224-2000	
Natomas Central Mutual Water Company	Steve Hetherington	419-5936	826-7673	564-1425
	Brett Gray	419-5936	826-7672	826-7672

Company	Name	Office	Cellular	After Hours
Utilities				
SMUD (Power Outages)				888-456-7683
SMUD – Emergency Dispatch		732-5338		
SMUD Wire Down – 24 Hour		732-5334		911
PG & E	Lorie Rodgers	530-320-9063	530-757-5245	800-743-5000
“I” Street Bridge Tender		789-5948		
Tower Bridge Tender		442-5298		

Company	Name	Office	Cellular	After Hours
City of Sacramento				
City of Sacramento Emergency - OES	Jason Sirney	874-2283	216-0324	216-0324
	Steve Winton	808-1833	974-6391	
City of Sacramento 24-hour Line	264-5011			
Department of Utilities 1 st	Bill Busath	808-1420	834-6715	
Department of Utilities 2 nd	Mike Malone	808-6226	897-0133	335-8897
City Public Relations	Jessica Hess	808-8260	698-1705	698-1705
City Pumps	Kim Capul	808-5229	952-8802	952-8802
Public Works (Street Maintenance Service Div)	Jerry Way	808-6381	804-3703	273-9057
City – Fire Department 808-1300	Duty Chief	228-3035		228-3035
	Dan Haverty	808-1601	216-0301	216-0301
City – Police Department	Watch Commander	264-5471	264-5151	264-5334
City – Flood Operations	Bill Roberts	808-6955	910-3582	
Company	Name	Office	Cellular	After Hours
County of Sacramento				
Sac County – Emergency Operations	Roger Ince	874-7043	204-0123	875-6900
	Steve Cantelme	874-4672	806-6596	875-6900
Sacramento County 24 hour Line		875-6900		875-5000
Sac County – Water Resources				
	Michael Peterson	874-8913	747-4061	782-8518
	George Booth	874-6484	847-3778	784-1954
WR Storm Dispatch 875-RAIN (7246)	Steve Kenning	875-7142	599-0287	223-2320
Sac County – Levee Patrol	Dan Barry– Day Shift	874-7156	541-7804	635-0286
Sac County – Water Quality (storm drains)				
WQ Superintendent	Scott Miller	875-5298	956-3779	965-5295
WQ North Corp Yard	Gary Bailey	876-6383	591-1273	530-672-0202
WQ Drainage/Water Mechanical	Tom Pasterski	876-6430	591-0468	
NEMDC Pump Station		876-6276	508-7356	536-9893
Sac County - OES	OES Duty Officer	875-5000		

Sac County – Sheriff		874-5128	874-6742	
Sac County – Sheriff Alternate	Lt Mike Jones	874-7953	606-2837	874-5111
	Sgt James Schaefers	874-5980	606-0896	874-8283
Sac County – Park Ranger (Dispatcher)		875-6672 875-7275		
Sac County – Park Ranger		875-6548		
Sac County – International Airport	24 Hour Duty desk			
	Robert Rose (Maintenance Manager)	874-0745	806-5330	
	Joe Fernandez	874-0376	806-5335	
Sac County – International Airport (alternate)	Call Center	874-0656		

Company	Name	Office	Cellular	After Hours
State				
DWR (Flood Project Inspection Section)	Donald Rasmussen, Chief	574-1730	764-2942	764-2942
	John Williamson	574-2643	698-8674	771-0392
DWR (Flood Project Inspection)	Pavel Kazi	574-1204	870-8103	310-717-0507
DWR (Levee Inspection)	Matt Hoffman	574-1208	214-3532	209-663-0905
	Dave Pasevento	574-1205	870-9482	723-2689
	Herman Phillips	574-2646	698-8674	
	Anna Fong	574-2632	216-8697	
DWR (Sacramento Maintenance Yard)	Main Number	375-6000		375-6020
	Russ Eckman	375-6004	952-8445	992-0809
	Phil Carey	375-6000	799-4227	991-1916
State Flood Center (24 hour line)	Non Public Number	574-2619		800-952-5530
California Conservation Corps	Emergency Branch	599-1415		
CCC Emergency Analyst	Melinda Allen (24 Hour)	341-3160		
California Emergency Management Agency				845-8911
Cal Trans Maintenance Yard Dispatch	859-7900 (24 hour)			653-3442
California Highway Patrol		861-1299		861-1333
Central Valley Flood Protection Board (CVFPB)	Leslie Gallagher	574-0609	709-0160	709-0160
	Len Marino	574-0608	203-4432	
	Michael Wright	574-0694		
Office of Emergency Services – Inland Region		845-8911 845-8510		

Company	Name	Office	Cellular	After Hours
Federal				
U.S. Army Corps of Engineers (Emergency Operations Center [EOC]) 24-hr		452-1535		452-1535
	Gary Fong	557-6974	807-0026	525-2601
	Krystal Bell	557-6903	807-0028	202-1325
	Brigid Briskin	557-6918	807-0033	807-0033
U.S. Bureau of Reclamation/Folsom Dam		989-7214 989-7251 or 52		989-7214 989-7251 or 52
U.S. Coast Guard - Rio Vista	Ask For "Officer of the Day" (OOD)	707-374-6674 707-374-2871 (24 hr)		707-374-2655
National Weather Service				
Senior Service Hydrologist	Cindy Matthews	979-3045	209-481-8911	209-369-3316

Appendix B Levee Patrol

B.1 Purpose

The purpose of levee patrols is to have qualified personnel visually evaluate the performance of the District levee system. Their intent is to determine the condition of the levee and to identify potential and existing problems:

- Threats
- Instabilities
- Seepage conditions
- Erosion points
- Freeboard

Implementation of this procedure will ensure each member of the Levee Patrol Team is capable of participating in precautionary actions and emergency response that may occur with the District's levee system.

This program will predominantly be undertaken by the District, with operational support from the Sacramento County. The major objectives of this procedure are to:

- Develop a training program to ensure qualified personnel are available for use
- Ensure materials, equipment and supplies are available to implement this procedure and are maintained in a serviceable condition to meet the needs of the ARFCD
- Ensure action levels are established and in place to manage potential challenges
- Prepare members to recognize the interface between allied agencies should escalating events require large-scale operations
- Prepare members to patrol levees to locate potential problems (including vandalism or terrorism), to alert the EOC, and to actively coordinate work, using flood fight and other methods, to resolve problems and minimize adverse consequences

B.2 Program Elements

The levee patrol program has three basic components – Training, Equipment Procurement and Maintenance, and Levee Patrols.

B.2.1 Component I – Training

All participants will complete the following training to become qualified for levee patrol.

Classroom (3 hours)

- Basic levee design
- Recognizing potential problem characteristics
- Notification/warning system

- Specific levee patrol assignments
- Command structure
- Safety considerations

Practical Training (3 hours)

- Filling and use of sandbags
- Treatment of boils
- Safety precautions
- Visquine wave wash protection
- Freeboard enhancement

Upon completion of both the classroom and practical functions, a member will remain qualified for 12 months from the final date of training. During flood emergency response conditions, it may be infeasible to provide new volunteers with the “Practical” training session. Instead they will be partnered with experienced patrol personnel who will help and instruct them.

B.2.2 Component II – Equipment Procurement and Maintenance

The Sacramento County and the District have a responsibility to ensure the following equipment is staged in an approved location and is in serviceable condition. The following resources, resource lists, and locations shall be maintained by the listed agencies.

ARFCD Office Building

(20) Three-cell watertight flashlights	(4) 500-watt lights
(60) ‘D’ cell batteries	(2) Light standards
(10) CAL-OSHA approved hardhats	(8) Propane lanterns
(20) Flat-tipped shovels	(4) Portable radios
(10) Sets of assorted size raingear	(200) Orange wire marking flags
(20,000) Empty sandbags	(200) Yellow wire marking flags
(2) Generators 3,500 KW or larger	(200) Red wire marking flags

Sacramento County Fire Department

(20) Watertight flashlights	(20) Orange vests
(80) ‘D’ cell batteries	(10) Portable radios
(26) US Coast Guard approved lifejackets	(10) GPS Units
(25) CAL-OSHA approved hardhats	(2) Vehicles with mobile radios
(6) Flat-tipped shovels	(1) Base radio

B.2.3 Component III – Levee Patrols

- The District Superintendent will create routes that ensure complete coverage, and wherever possible, overlapping coverage.
- The District Superintendent will physically account for all personnel working under their control on an hourly basis.
- All members will receive a safety briefing prior to commencing patrols and will use all provided safety gear.

B.2.3.1 Motor Patrols

- The levee motor patrol will consist of the following:
 - Multiple four-wheel drive vehicles with mobile radio capabilities.
 - Two trained and currently qualified observers per vehicle.
 - Patrol areas will be divided as shown on the attached map.
 - Patrol crews will be rotated on a 12-hour frequency.
 - Completion of a Patrol Log and/or Division Activity Log will be required for each shift using ICS Form 214.
 - All members will receive a safety briefing and utilize appropriate safety gear.

B.2.3.2 Walking Patrol

A levee walking patrol will be enforced, as necessary:

- Teams of two personnel physically walking a designated section of levee. One person will be positioned at the toe of the land side of the levee. The second will be assigned to the top of the levee.
- Foot patrols will check visually for potential problems with the levee as per training.
- Areas of concern will be identified and tagged.
- All tags will be evaluated by the District Superintendent conducting motor patrol activities. Flags will be used to designate the levee's condition. When a potential problem is identified, the condition will be reported to Command for an immediate evaluation by the Engineer.
- All levee foot patrol personnel will have the following at a minimum:
 - Three-cell watertight flashlight
 - Cal OSHA-approved hardhat
 - Raingear, if warranted; each individual is responsible for boots
 - Reflective vest
 - (10) Flags
 - Global Positioning System (GPS) unit to establish latitude and longitude of trouble sites
 - U. S. Coast Guard-approved lifejacket
 - One member of each foot-patrol team will be equipped with a portable radio. Radio communication should be minimized to prevent channel overload. All radio communication will be conducted in plain English, with no jargon or acronyms.

- Walking patrol personnel will be rotated on an as needed basis.

B.2.4 High Water Staking Procedures

- High water staking: Record the extent of high water by placing markers (stakes) periodically as the event progresses
- Reference those high water locations with suitable surveying or GPS locations
- Provide that information to the jurisdiction and DWR upon request

B.3 Augmenting Staff

When local personnel resources are depleted or reasonably committed, mutual aid is requested and coordinated within the Operational Area (OA). If OA resources are not sufficient or timely, the request is then forwarded to the Cal EMA Regional Emergency Operations Center (REOC). The REOC evaluates and fills requests by (a) staff from unaffected OAs, (b) tasking a State agency, or (c) accessing federal assistance. (see Appendix C, Section 4 for Procedures.)

Appendix C Flood Fight

C.1 Trigger(s)

At the River Warning Stage or upon notification of a potential problem by a levee patrol, establish necessary staging areas for supplies, equipment, and personnel. ARFCD has ensured the staging areas are a safe distance from other emergency facilities, such as evacuation centers, shelters, and Incident Command Posts. If required by the situation, commence filling sandbags.

C.2 Prioritization

ARFCD will use available resources and personnel to address boils, rising water/loss of freeboard, slumps, and sloughs to the full extent of its training and capability.

Based on input from levee patrols and other informed observers, the Sacramento County EOC establishes a Unified Command to set priorities for flood fight operations. All Incident Commanders conduct an Initial Unified Command Meeting. This meeting provides responsible agency officials with an opportunity to discuss and concur on important issues prior to joint incident action planning. The agenda for the command meeting includes the following:

- Set jurisdictional/agency priorities and objectives
- Present jurisdictional limitations, concerns, and restrictions
- Develop a collective set of incident objectives
- Establish and agree on acceptable priorities
- Adopt the overall strategy or strategies to accomplish objectives
- Agree on the basic organization structure
- Designate the most qualified and acceptable Operations Section Chief (the Operations Section Chief will normally be from the jurisdiction or agency that has the greatest involvement in the incident, although that is not essential)
- Agree on General Staff personnel designations and planning, logistics, and finance agreements and procedures
- Agree on the resource ordering process to be followed and cost-sharing procedures
- Agree on informational matters, designating one official to act as the Unified Command spokesperson

The members of the Unified Command must be authorized to decide and act on behalf of the jurisdiction or agency they represent. Such decisions/actions may include ordering of additional resources in support of the Incident Action Plan, possible loaning or sharing of resources to other jurisdictions, and agreeing to financial cost-sharing arrangements with participating agencies.

C.3 Activation and Dispatch

The General Manager of ARFCD has the authority to activate this Appendix. Dispatch of Flood Fight Teams shall be in accordance with priorities set by the General Manager.

C.4 Personnel

ARFCD maintains a cadre of emergency responders. Additional flood emergency response staffing comes from other ARFCD employees and from volunteers.

When the ARFCD requires additional people for sand bagging, emergency debris clearance, diking, and similar activities to save life and protect public safety, assistance may come from trained crews to augment local personnel. In accordance with SEMS, when local resources are depleted or reasonably committed, mutual aid is requested and coordinated within the Sacramento County Operational Area (OA). If OA resources are not sufficient or timely, the request is then forwarded to the REOC. The REOC evaluates and fills requests by coordinating mutual aid from unaffected OAs, tasking a State agency, or accessing federal assistance. Due to the nature of the need and the resource, requests for hand crews are usually tasked to a State agency.

C.4.1 Resource Agencies

The California Conservation Corps (CCC) has trained civilian crews. The California Department of Forestry and Fire Protection (Cal Fire) supervises crews from the California Department of Corrections and California Youth Authority. The California National Guard (CNG) also has personnel available. Both CCC and Cal Fire have contract services for various types of projects. CNG is only available through State tasking. In addition to crews, CNG and Cal Fire have mobile kitchens and similar support resources available. Cal Fire can also provide trained section leaders for ICS and SEMS organizations.

C.4.2 Mission Tasking

Cal EMA controls missions and mission assignments for State resources and coordinates requests for federal resources. If Cal EMA receives a request for crews that meets the criteria for State agency tasking and if an agency has the capability, Cal EMA will issue a mission number authorizing the agency to respond. Once tasked, that agency will work directly with the requesting agency and provide the resource within the definition and limits of the mission authorization.

C.4.3 Tasking Criteria

For all missions (a) there must be actual or imminent danger to life or public safety, and (b) locally available resources, including private sector contracting, must be inadequate or untimely. Maintenance or recovery activities should be dealt with by contract and will not be authorized by Cal EMA. Ex Post Facto mission numbers will not be authorized unless it can be clearly demonstrated that properly coordinating the request would have caused an inordinate delay and that such delay would have resulted in severe injury or loss of life.

C.4.4 Costs/Reimbursement

State agencies tasked under a Cal EMA mission number respond free of charge. Crews may require feeding and sheltering; transport vehicles may require gas and maintenance. These services are usually paid for or provided *by the requesting agency* unless otherwise agreed to at the time of the request.

C.4.5 Request Procedures

Following coordination within the Sacramento County OA, the EOC will forward unfilled requests to the Inland REOC Operations Section. The REOC will follow up with the Sacramento County OA EOC to resolve any questions and to monitor resource delivery.

- Requests should be completed using the Response Information Management System (RIMS) on a RIMS Mission Request/Tasking form. If RIMS is unavailable, hard copy of the form should be faxed to the Inland REOC via the State Warning Center. If faxing is infeasible, phone in the request using the RIMS format. All requests made by RIMS or fax must be confirmed by phone.
- Requests must contain a clear description of the mission to be performed and the number of personnel needed.
- Requests must not specify the agency from which the crew is being requested (i.e., three California Conservation Corps crews). This allows Cal EMA to make mission tasking based upon availability and need, and avoids over-tasking of a single agency. If there are operational reasons to specify an agency, please explain them in the mission statement of the request form.
- The Sacramento County OA EOC must take special care not to duplicate requests with any possibly made via another Mutual Aid System. Accordingly, EOC Branches must coordinate their requests closely. *In particular, crews for flood fight should not be requested via Fire Mutual Aid channels* (see below).

C.4.6 Fire Mutual Aid

Unlike procedures for other types of emergencies, crews supervised by Cal Fire for flood fight are *not* accessible under the Fire and Rescue Mutual Aid Plan. All requests for crews for flood fight must follow emergency services channels, regardless of the requesting agency. In view of the natural tendency for requests made by fire agencies to remain in fire channels, it is critical that the Sacramento County OA Region Fire Branch coordinator and the Sacramento County OA Construction and Engineering Branch coordinator communicate closely to avoid confusion and delay.

C.4.7 State Agency Voluntary Response

During non-emergency conditions or non-proclaimed emergencies, State agencies may respond to requests as a locally available resource. Such responses do not receive mission numbers and may not be covered under Mutual Aid and provisions of the Emergency Services Act. Further, all costs are born by the State agency and/or the requesting agency pursuant to any agreement or understanding between them. Resources committed under such responses may be redirected to higher priority missions during emergencies.

C.5 Hazardous Materials Locations

The following sites as having hazardous chemicals stored onsite.

11/16/2017

Hazardous Material Inventory: CERS Business

California Environmental Reporting System: Business

[Malane Chapman's Account](#) [Sign Out](#) [Tools](#) [Reports](#)

[Home](#) [Submittals](#) [Facilities](#) [Compliance](#) [My Business](#)

Hazardous Material Inventory: AMERICAN RIVER FLOOD CONTROL DISTRICT

[Home](#) » [Submittal History](#) » [Submittal: 11/3/2017 \(10644850\)](#) » [Materials Inventory: Hazardous Material Inventory \(Submitted\)](#)

[Instructions/Help](#)

Submittal Element History

Submitted for CERS ID **10644850** on 11/3/2017 1:20PM by [Malane Chapman](#) of [AMERICAN RIVER FLOOD CONTROL DISTRICT \(SACRAMENTO, CA\)](#)

[View Entire Submittal](#) [Start New Submittal](#)

Inventory Actions

[Download Inventory](#) [Inventory Reports](#)
[Search Facility's Inventory](#) [CERS Chemical Library](#)

Hazardous Materials Inventory (4)

Submitted Nov. 3, 2017

Only show materials with errors/warnings

	Common Name	CAS	Location	Max Daily Amount
View	Glyphosate Isopropylamine Salt	38641-94-0	Locked Herbicide Storage Area	110 gallons
View	Cement	65997-15-1	On Pallets In Warehouse	11,280 pounds
View	Concrete Mix	14808-60-7	On Pallets In Warehouse	2,880 pounds
View	Diesel Fuel No. 2	68476-34-6	In Secondary Containment	110 gallons

HMIS Matrix Report [Export To Excel](#)

items per page
 1 - 4 of 4 items

Version 2.23.0016 | [Enhancements](#) | [CERS Central](#)

[Diagnostics](#) | [Conditions of Use](#) | [Privacy Policy](#) | [Contact](#) |

California Environmental Reporting System: Business | © 2017 California Environmental Protection Agency
 CERS Technical Support: [Request Technical Assistance](#)
 Unified Program/General Assistance: Contact your [local regulator\(s\)](#)

C.6 Materials and Supplies

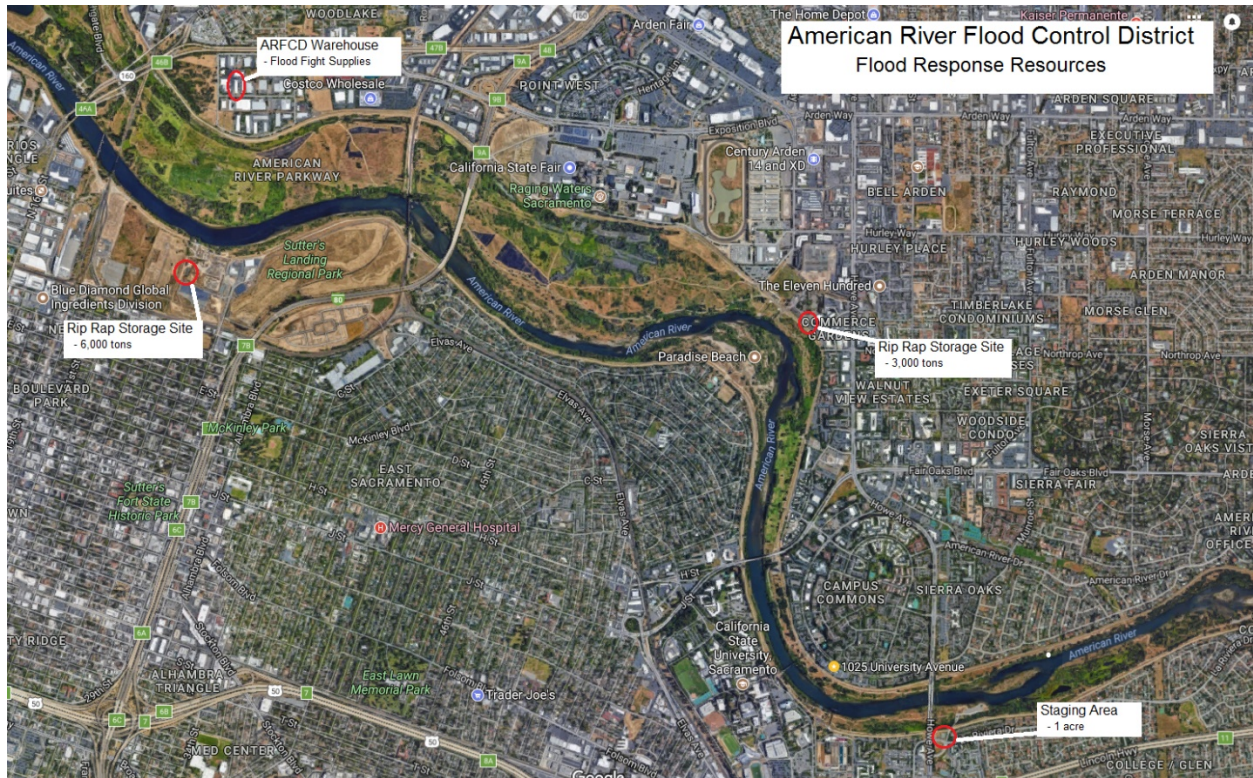
In accordance with DWR recommendations, ARFCD has stockpiled the following items for flood fight activities for the 2017/2018 flood season. Following is a map of Flood Response Resources.

Supplies

Sandbags Empty	9,000
Sandbags full	2,000
Visquine 20' X 100' X 45	4500'
Rope	300'
Stakes	1000
Twine 5,500 ' X 7	38500'
Buttons	3,500
Emergency Blankets	6
Life Vests	14
Muscwall Barriers	75'
Rip Rap	9,000 Tons
Lath	200
Fill Dirt	2,000 Yards

Equipment

JD 624H Loader
JD 410E Backhoe
JD 75G Excavator
International Dump Truck 10 Yd
Peterbilt Dump Truck 10 Yd
GMC Dump Truck 5 Yd
Komatsu Crawler Carrier 5 Yd
Portable Light Tower
4 X Portable Pumps
2 X Portable Generators



C.7 Training in Flood Fight Procedures and Techniques

Personnel from ARFCD participate in DWR Flood Fight training, which DWR provides annually. Also, see the DWR Flood Fight Manual:

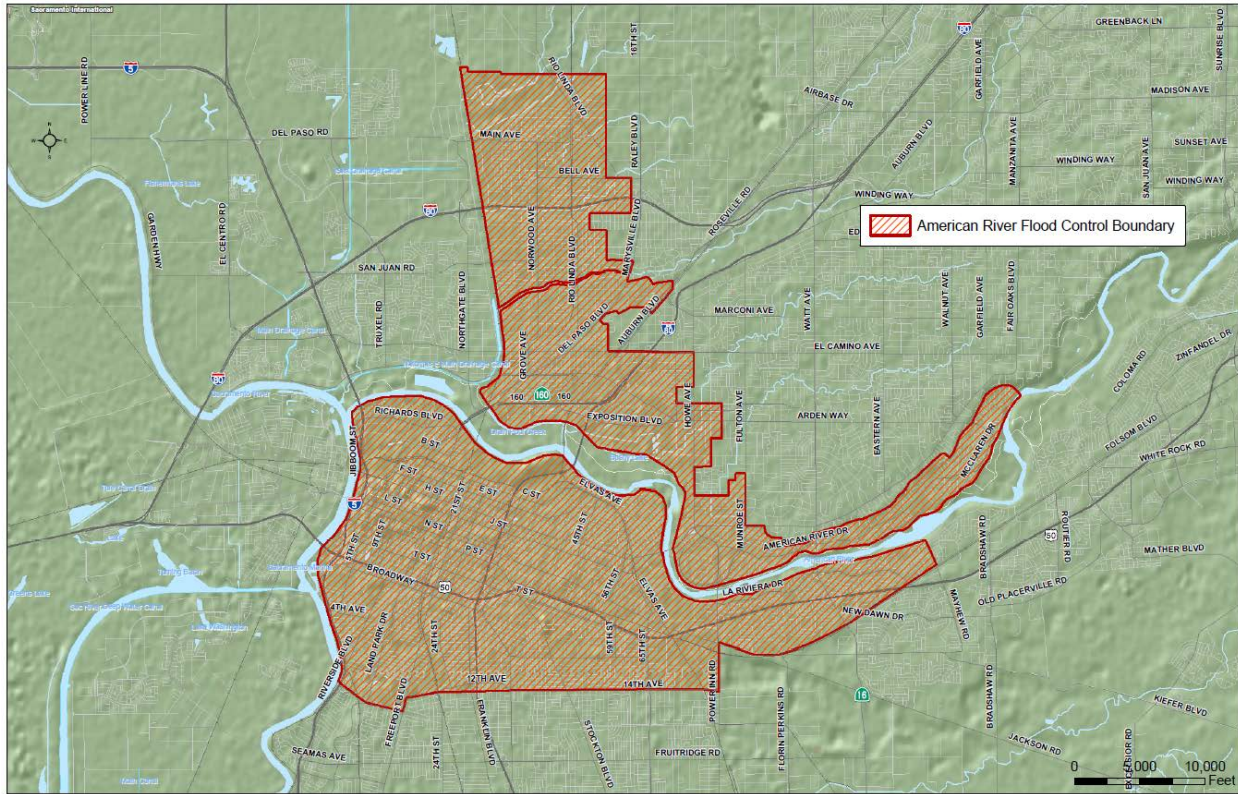
http://www.water.ca.gov/floodmgmt/docs/flood_fight_methods.pdf

C.8 Utilities

In general, coordination with utilities will be the responsibility of the OA EOC. When on-scene coordination is needed, the Utility Representative becomes part of the IC's staff. In principal, the Utility Representative gives advice to the IC; in practice the Representative often works directly with the Operations Section Chief.

Appendix D Maps

American River Flood Control District Boundary



General Manager's Meeting Summary – December 2017

12/4: Flood Safety Plan meeting. I met with Nicole Ortega-Jewel from MBK Engineers to provide comments on the draft Flood Safety Plan for the District. MBK was tasked by SAFCA to develop the FSP for the Dry Creek Levee Accreditation effort. The plan will be written general enough to be applicable to the entire District.

12/7: DWR Local Maintaining Agency Coordination meeting. I met with State DWR Inspection staff and representatives from various Local Maintaining Agencies to discuss levee operations and maintenance topics. Items of discussion included State and Federal programs for emergency repairs, pipe inspection grants, and encroachment removal.

12/8: American River Flood Control District Board of Trustees meeting. The Board met in regular session. The agenda items included an encroachment permit application for a home renovation on the waterside of the District levee near Claremont Road, the 2017 District Newsletter, the newest actuarial evaluation for District Other Personnel and Employee Benefits, and a resolution designating the District Board room as the Karolyn W. Simon Board Room.

12/11: SAFCA Agency Staff meeting. I attended this meeting to coordinate on local flood control topics. Items of discussion included RD 1000's treatment of a critical erosion site on the Garden Highway.

12/13: Central Valley Flood Control Association Board of Directors meeting. I attended this meeting to coordinate on regional flood operations and maintenance topics. Items of discussion included a briefing by the Central Valley Flood Protection Board on implementation of the Central Valley Flood Protection Plan. The discussion mainly focused on identifying long term funding sources for flood control and the State's requirement for local projects to accept OMRR&R responsibility.