

November 9, 2018

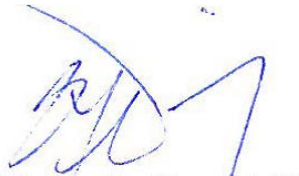
Delta Conveyance Design and Construction Authority  
Board of Directors

Members of the Board,

The next regular meeting of the Delta Conveyance Design and Construction Authority (DCA) Board of Directors is scheduled for **Thursday, November 15, 2018, at 1:30 p.m.** at the **Tsakopoulos Library Galleria, 828 I Street, East Room (1<sup>st</sup> floor), in Sacramento.**

Enclosed are the materials for the Thursday, November 15, 2018 Board meeting in a PDF file, which has been bookmarked for your convenience.

Sincerely,



Jill Duerig  
Interim Executive Director

**DELTA CONVEYANCE DESIGN AND CONSTRUCTION AUTHORITY  
BOARD OF DIRECTORS MEETING**

REGULAR MEETING

Thursday, November 15, 2018  
1:30 p.m.

SACRAMENTO PUBLIC LIBRARY, TSAKOPOULOS LIBRARY GALLERIA  
828 I Street, Sacramento, CA 95814

AGENDA

Assistance will be provided to those requiring accommodations for disabilities in compliance with the Americans with Disabilities Act of 1990. Interested person must request the accommodation at least two working days in advance of the meeting by contacting the Design and Construction Authority support staff at (916) 347-0486 or [info@dcdca.org](mailto:info@dcdca.org).

**1. CALL TO ORDER**

**2. ROLL CALL**

**3. CLOSED SESSION – OPEN SESSION TO FOLLOW AT APPROXIMATELY 2:00 P.M.**

(a) Conference with Legal Counsel - Significant exposure to litigation pursuant to Gov't Code section 54956.9(d) (2):

- a. Delta Stewardship Council California WaterFix Consistency Determination
- b. Food and Water Watch and Center for Food Safety v. Metropolitan Water District of Southern California, Case No. BC720692.

(b) Public Employee Appointment - Pursuant to Government Code Section 54957. Title: Executive Director

**4. OPEN SESSION AND PLEDGE OF ALLEGIANCE, APPROXIMATELY 2:00 P.M.**

**5. REPORT OUT OF CLOSED SESSION**

**6. PUBLIC COMMENT**

*Members of the public may address the Authority on matters that are within the Authority's jurisdiction. Speakers are limited to three minutes each. Persons wishing to speak are requested to complete speaker cards.*

**7. APPROVAL OF MINUTES: October 18, 2018 Regular Board Meeting**

**8. CONSENT CALENDAR**

*Items on the Consent Calendar are considered to be routine by the Board of Directors and will be enacted by one motion and one vote. There will be no separate discussion of these items unless a director so requests, in which event the item will be removed from the Consent Calendar and considered separately.*

- a. None

**9. DISCUSSION ITEMS**

- a. Consider Adopting Conflict of Interest Code
- b. Consider Passing Resolution Authorizing a Professional Services Agreement to Provide Engineering Design Management Services
- c. Presentations on Types of Alternative Delivery Methods, Financing and Case Studies

**10. STAFF REPORTS AND ANNOUNCEMENTS**

- a. Executive Director's Report
- b. General Counsel's Report
- c. Treasurer's Report
- d. Verbal Reports, if any

**11. FUTURE AGENDA ITEMS**

**12. ADJOURNMENT**

\* \* \* \* \*

***Next scheduled meeting: December 20, 2018 Regular Board Meeting at 2 p.m. in the Sacramento Public Library, Tsakopoulos Library Galleria, 828 I Street, Sacramento, CA 95814***

BOARD OF DIRECTORS MEETING

# MINUTES

**REGULAR MEETING**

**Thursday, October 18, 2018**

**1:30PM**

(Paragraph numbers coincide with agenda item numbers)

**1. CALL TO ORDER**

The regular meeting of the Delta Conveyance Design and Construction Authority (DCA) Board of Directors was called to order in the Sacramento Public Library, Tsakopoulos Library Galleria, 828 I Street, Sacramento, CA 95814, at 1:30 p.m.

**2. ROLL CALL**

Board members in attendance were Tony Estremera, Steve Arakawa (Alternate for Richard Atwater), Steve Blois, and Sarah Palmer constituting a quorum of the Board.

Staff members in attendance were Jill Duerig, Stefanie Morris, June Skillman, Pete Wiseman and Adrian Brown.

**3. CLOSED SESSION**

**4. PLEDGE OF ALLEGIANCE/NATIONAL ANTHEM**

President Estremera convened the open session at approximately 2:00 p.m. and led all present in reciting the Pledge of Allegiance.

**5. REPORT OUT OF CLOSED SESSION**

**a. Conference with Legal Counsel - Significant exposure to litigation pursuant to Gov't Code section 54956.9(d) (2):**

- i. Delta Stewardship Council California WaterFix Consistency Determination**
- ii. Food and Water Watch and Center for Food Safety v. Metropolitan Water District of Southern California, Case No. BC720692.**

There were no reportable actions taken.

**b. Public Employee Appointment - Pursuant to Government Code Section 54957. Title: Executive Director**

Ms. Morris reported that the Interim Executive Director determined there is no need to form an ad hoc committee to assist with the search for the Executive Director.

## 6. PUBLIC COMMENT

President Estremera opened public comment, limiting speaking time to three minutes each.

President Estremera noted that he had not received any written correspondence or emails with public comments.

There were two verbal comments from the public.

Mr. Seth Jayne, President, Sierra Geotech expressed support for mandatory DBVE participation goals for procurement of professional engineering services contracts.

Mr. Shaun Vemuri, Geotechnical Engineering Principal, Sierra Geotech expressed support for mandatory DBVE participation goals for procurement of professional engineering services contracts.

President Estremera closed Public Comment.

## 7. APPROVAL OF MINUTES: September 20, 2018 Regular Board Meeting

Recommendation: Approve minutes of the September 20, 2018 Regular Board Meeting

Move to Approve Minutes with changes, as noted: Palmer

Second: Blois

Yeas: Estremera, Arakawa, Blois and Palmer

Nays: None

Abstains: None

Recusals: None

Absent: None

Summary: 4 Yeas; 0 Nays; 0 Abstains; 0 Absent. (Motion passed as MO 18-10-01)

## 8. CONSENT CALENDAR

Recommendation: Move to approve amendments to JEPA

Director Estremera moved this item off consent and asked staff for an overview of the amendments.

Ms. Morris provided an overview of the detailed staff report and explained why each amendment was necessary.

Move to Approve amendments to JEPA, as noted: Blois

Second: Palmer

Yeas: Estremera, Arakawa, Blois and Palmer

Nays: None

Abstains: None

Recusals: None

Absent: None

Summary: 4 Yeas; 0 Nays; 0 Abstains; 0 Absent. (Motion passed as MO 18-10-02)

## 9. DISCUSSION ITEMS:

### a. Consider Passing Resolution to obtain Geotechnical Engineering Professional Services.

Recommendation: Authorize the Executive Director to negotiate and execute a professional services agreement with Fugro for a five year term in an amount not to exceed \$75 million dollars, for Phase 2A only.

Mr. Adrian Brown, Interim Procurement Manager, gave a presentation describing the professional service agreement for Geotechnical Services, Phase 2A only. Director Blois requested clarification regarding the selection committee. Mr. Brown noted that the recommendations were vetted by the selection committee.

Ms. Duerig stated that to date this Board has not yet adopted a policy on SB/DVBE and indicated that a policy is being drafted and she expects to bring to the Board by the end of the year.

President Estremera requested a workshop on the procurement process that would provide an overview of existing procurement processes.

President Estremera accepted questions and comments from the public.

Mr. Vemuri again stated his support for a mandatory 3% goal for SBE/DVBE.

Director Blois commented on SB/DVBE goals, in general, and cautioned against “a one size fits all” structure.

Move to Approve Fugro for Geotechnical Engineering Professional Service agreement,  
as noted: Palmer  
Second: Blois  
Yeas: Estremera, Arakawa, Blois and Palmer  
Nays: None  
Abstains: None  
Recusals: None  
Absent: None  
Summary: 4 Yeas; 0 Nays; 0 Abstains; 0 Absent. (Motion passed as Resolution 18-11)

### b. Consider Passing Resolution to obtain Real Estate (RE) Professional Services.

Recommendation: Authorize the Executive Director to negotiate and execute three Real Estate professional service agreements.

Mr. Peter Wiseman, Interim Property Acquisition Manager, provided a presentation for three Real Estate professional service agreements as outlined below:

- Associated Right of Way Services 7-year term NTE: \$9 million dollars
- Hamner Jewell Associates 7-year term NTE: \$9 million dollars
- Bender Rosenthal 7-year term NTE: \$9 million dollars

The total for all three contracts is an amount not to exceed \$27 million dollars.

Director Palmer requested that in the future, the scope of work be presented with the professional services presentations for additional clarity.

Ms. Duerig outlined the contracting process by explaining that the work will be commenced with task orders and only to the extent that the budgets have been approved by this Board.

Move to Approve three for Real Estate (RE) Professional Service agreements,  
as noted: Blois  
Second: Palmer  
Yeas: Estremera, Arakawa, Blois and Palmer  
Nays: None  
Abstains: None  
Recusals: None  
Absent: None  
Summary: 4 Yeas; 0 Nays; 0 Abstains; 0 Absent. (Motion passed as Resolution 18-12)

**c. Consider Passing Resolution to obtain Survey, Mapping, Title and Right of Way Engineering Professional Services**

Recommendation: Authorize the Executive Director to negotiate and execute three professional service agreements for Survey, Mapping, Title and Right of Way Engineering Professional Services (ROW).

Mr. Peter Wiseman, Interim Property Acquisition Manager, presented for three professional service agreements for Survey, Mapping, Title and Right of Way Engineering Professional Services (ROW) as detailed below:

- PSOMAS 7-year term NTE: \$15 million dollars
- Michael Baker International 7-year term NTE: \$ 8 million dollars
- Hernandez Kroone Assoc. 7-year term NTE: \$ 2 million dollars

Professional Service Agreements for all three contracts combined will not exceed 25 million dollars.

Director Blois queried why the contract amounts varied between the three companies. Mr. Wiseman explained that the variations correspond to their evaluation scores and area of expertise.

Move to authorize and negotiate three Survey, Mapping, Title and Right of Way Engineering Professional Service agreements, as noted: Blois  
Second: Palmer  
Yeas: Estremera, Arakawa, Blois and Palmer  
Nays: None  
Abstains: None  
Recusals: None  
Absent: None

Summary: 4 Yeas; 0 Nays; 0 Abstains; 0 Absent. (Motion passed as Resolution 18-13)

## **10. STAFF REPORTS AND ANNOUNCEMENTS**

### **a. Executive Director Report**

A written report was provided in the Board package. President Estremera was optimistic that there were two great options available.

### **b. General Counsel Report**

A written report was provided in the Board package. Director Palmer asked how many Public Records Act (PRA) requests have been received. Ms. Morris responded that to date two PRA requests had been received. Ms. Morris noted that she is working with staff to develop an efficient process to respond to PRA requests to make the process efficient.

### **c. Treasurer's Report**

A written report was provided in the Board package. The Board had no additional questions or comments.

### **d. Verbal Reports**

Ms. Duerig expressed gratitude for the transition staff. She reiterated that a policy for SBE/DVBE goals is in process and will be presented by end of year. She also indicated that a budget update is underway and anticipates presenting it to the Board by end of year.

Director Palmer asked how the search is going for a permanent location is going. Ms. Duerig indicated that the choice is now between two locations, and that transition staff is working closely with a local commercial property agent on layouts of the two different locations, to determine which would be the best fit.

## **11. FUTURE AGENDA ITEMS:**

President Estremera indicated that on November 15, 2018 a full day meeting on the Executive Director recruitment. Ms. Morris indicated that this will be done in Closed Session, with report out only if any action is taken. Director Blois clarified that the Open General Session will still be scheduled on November 15<sup>th</sup> at 2:00 p.m.

## **12. ADJOURNMENT:**

The next meeting of the DCA will be held on November 15, at 2 p.m. in the Sacramento Public Library, Tsakopoulos Library Galleria, 828 I Street, Sacramento.

President Estremera adjourned the meeting at 2:40 p.m.



## **Board Memo**

**Contacts:** Stefanie Morris, Interim General Counsel

**Date:** 11/15/2018 Board Meeting

**Item No. 9a**

**Subject:**

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Consider Adopting Conflict of Interest Code

### **Executive Summary:**

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The Political Reform Act (the “Act”) requires all state and local government agencies to adopt and promulgate a conflict of interest code establishing the rules for reporting personal assets and the prohibition from making or participating in the making of any decisions that may affect any personal assets. A conflict of interest code must specifically designate all agency positions, except for those listed in Government Code section 87200, that make or participate in the making of agency decisions which may foreseeably have an effect on any financial interest of that person and assign specific types of personal assets to be disclosed that may be affected by the exercise of powers and duties of that position.

### **Detailed Report:**

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Attached is a copy of the proposed Conflict of Interest Code (“Code”) for the Delta Conveyance Design & Construction Authority (the “Authority”). By reference, this Code incorporates the Fair Political Practices Commission (the “FPPC”) Regulation 18730 as the provisions of the Code with an Appendix attached designating all Agency positions that make or participate in making decisions of the Agency and assign appropriate disclosure categories in Part “A,” and lists the disclosure categories to be assigned in Part “B.” This is commonly referred to as the FPPC Standard Code.

### **Recommended Action:**

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It is recommended that the Board of Directors approve and adopt Resolution No. 18-XX adopting the Conflict of Interest Code and directing that such Code be submitted to the Fair Political Practices Commission as the Authority’s code-reviewing body (Gov. Code § 82011) requesting approval of the Code as required under Government Code section 87303.

### **Attachments:**

Attachment 1: Resolution

Attachment 2: Conflict of Interest Code with Attachments

**BOARD OF DIRECTORS OF THE DELTA CONVEYANCE DESIGN AND  
CONSTRUCTION AUTHORITY**

**RESOLUTION NO. 18-XX**

**Introduced by Director xxxx**

**Seconded by Director xxxx**

***RESOLUTION OF THE BOARD OF DIRECTORS OF THE DELTA CONVEYANCE DESIGN &  
CONSTRUCTION AUTHORITY ADOPTING A CONFLICT OF INTEREST CODE PURSUANT TO THE  
POLITICAL REFORM ACT OF 1974***

The State of California enacted the Political Reform Act of 1974, Government Code section 81000, et seq. (the “Act”), which contains provisions relating to conflicts of interest which potentially affect all officers, employees and consultants of the Delta Conveyance Design & Construction Authority (the “Authority”) and requires all public agencies to adopt and promulgate a conflict of interest code; and

The potential penalties for violation of the provisions of the Act are substantial and may include criminal and civil liability, as well as equitable relief which could result in the Agency being restrained or prevented from acting in cases where the provisions of the Act may have been violated; and

Notice of the time and place of a public meeting on, and of consideration by the Board of Directors of, the proposed Conflict of Interest Code was provided each designated position and publicly posted for review at the offices of the Authority; and

A public meeting was held upon the proposed Conflict of Interest Code at a regular meeting of the Board of Directors on November 15, 2018, at which all present were given an opportunity to be heard on the proposed Conflict of Interest Code.

**NOW, THEREFORE, BE IT RESOLVED** by the Board of Directors of the Delta Conveyance Design & Construction Authority that the Board of Directors does hereby adopt the proposed Conflict of Interest Code, a copy of which is attached hereto and shall be on file with the Executive Director of the Board and available to the public for inspection and copying during regular business hours;

**BE IT FURTHER RESOLVED** that the said Conflict of Interest Code shall be submitted to the Fair Political Practices Commission (“FPPC”) for approval and said Code shall

become effective 30 days after the FPPC approves the proposed Conflict of Interest Code as submitted.

\* \* \* \* \*

This Resolution was passed and adopted this 15<sup>th</sup> day of November, 2018, by the following vote:

Ayes:

Noes:

Absent:

Abstain:

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Tony Estremera, Board President

Attest:

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Sarah Palmer, Secretary

**DELTA CONVEYANCE DESIGN &  
CONSTRUCTION AUTHORITY  
CONFLICT OF INTEREST CODE**

The Political Reform Act (Gov. Code § 81000, et seq.) requires state and local government agencies to adopt and promulgate conflict of interest codes. The Fair Political Practices Commission has adopted a regulation (2 Cal. Code Regs. § 18730) that contains the terms of a standard conflict of interest code which can be incorporated by reference in an agency's code. After public notice and hearing, Regulation 18730 may be amended by the Fair Political Practices Commission to conform to amendments in the Political Reform Act. Therefore, the terms of 2 California Code of Regulations section 18730, and any amendments to it duly adopted by the Fair Political Practices Commission, are hereby incorporated by reference. This incorporation page, Regulation 18730 and the attached Appendix designating positions and establishing disclosure categories, shall constitute the conflict of interest code of the Delta Conveyance Design & Construction Authority (the "Authority").

All officials and designated positions required to submit a statement of economic interests shall file their statements with the **Executive Director** as Authority's Filing Officer/Official. The **Executive Director** shall make and retain a copy of statements filed by the Members of the Board of Directors, Board Alternates, and Executive Director and forward the originals to the Fair Political Practices Commission. The **Executive Director** shall retain the original statements filed by all other officials and designated positions and make all retained statements available for public inspection and reproduction during regular business hours. (Gov. Code § 81008.)

**APPENDIX**  
**CONFLICT OF INTEREST CODE**  
**OF THE**  
**DELTA CONVEYANCE DESIGN &**  
**CONSTRUCTION AUTHORITY**

(Adopted \_\_\_\_\_)

**PART "A"**

**OFFICIALS WHO MANAGE PUBLIC INVESTMENTS**

Officials who manage public investments, as defined by 2 California Code of Regulations section 18700.3, are NOT subject to the Authority's Code, but must file disclosure statements under Government Code section 87200. [Regs. § 18730(b)(3)] These positions are listed here for informational purposes only.

It has been determined that the positions listed below are officials who manage public investments<sup>1</sup>:

Members, Board of Directors and Alternates

Treasurer

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<sup>1</sup> Individuals holding one of the above-listed positions may contact the Fair Political Practices Commission for assistance or written advice regarding their filing obligations if they believe that their position has been categorized incorrectly. The Fair Political Practices Commission makes the final determination whether a position is covered by Government Code Section 87200.

**DESIGNATED POSITIONS**

**GOVERNED BY THE CONFLICT-OF-INTEREST CODE**

<b><u>DESIGNATED POSITIONS'</u></b> <b><u>TITLE OR FUNCTION</u></b>	<b><u>DISCLOSURE CATEGORIES</u></b> <b><u>ASSIGNED</u></b>
Appraisal and Acquisition Manager	2, 3, 5
Chief Engineer	2, 3, 5, 6
Contracting Team Manager	4
Conveyance Mitigation Engineering Manager	5
Conveyance Mitigation Planning Manager	2, 3, 5
Engineering Support Team Manager	5
Environmental Manager	2, 5
Environmental Permits Manager	2
Estimating Manager	4
Executive Director	1, 2
Finance & Accounting Manager	4
General Counsel	1, 2
General Technology Manager	5
Geotechnical Manager	5
Information Technology and Systems Manager	5
Internal Audit Manager	4
Program Controls and Contracting Manager	4
Program Control Manager	5
Program Manager	1, 2
Property Acquisition Manager	2, 5

<b><u>DESIGNATED POSITIONS'</u></b> <b><u>TITLE OR FUNCTION</u></b>	<b><u>DISCLOSURE CATEGORIES</u></b> <b><u>ASSIGNED</u></b>
Pumping Plant Team Manager	5
Safety and Risk Manager	5, 6
Survey and Mapping, Right of Way Manager	2, 5
Utilities, Power & Access Team Manager	5

#### Consultants and New Positions\*

\* Individuals providing services as a Consultant defined in Regulation 18700.3 or in a new position created since this Code was last approved that makes or participates in making decisions shall disclose pursuant to the broadest disclosure category in this Code subject to the following limitation:

The Executive Director may determine that, due to the range of duties or contractual obligations, it is more appropriate to assign a limited disclosure requirement. A clear explanation of the duties and a statement of the extent of the disclosure requirements must be in a written document. (Gov. Code Sec. 82019; FPPC Regulations 18219 and 18734.)The Executive Director's determination is a public record and shall be retained for public inspection in the same manner and location as this Conflict-of-Interest Code. (Gov. Code Sec. 81008.)

## PART "B"

### DISCLOSURE CATEGORIES

The disclosure categories listed below identify the types of economic interests that the designated position must disclose for each disclosure category to which he or she is assigned "Investment" means financial interest in any business entity (including a consulting business or other independent contracting business) and are reportable if they are either located in, doing business in, planning to do business in, or have done business during the previous two years in the jurisdiction of the Authority.

Category 1: All investments and business positions in business entities, and sources of income, including gifts, loans and travel payments, that are located in, do business in, or own real property within the jurisdiction of the Authority.

Category 2: All interests in real property which is located in whole or in part within, or not more than two (2) miles outside, the jurisdiction of the Authority.

Category 3: All investments and business positions in business entities, and sources of income, including gifts, loans and travel payments, that are engaged in land development, construction or the acquisition or sale of real property within the jurisdiction of the Authority.

Category 4: All investments and business positions in business entities, and sources of income, including gifts, loans and travel payments, that provide services, products, materials, machinery, vehicles or equipment of a type purchased or leased by the Authority.

Category 5: All investments and business positions in business entities, and sources of income, including gifts, loans and travel payments, that provide services, products, materials, machinery, vehicles or equipment of a type purchased or leased by the designated position's department, unit or division.

Category 6: All investments and business positions in business entities, and sources of income, including gifts, loans, and travel payments, if such entities or sources have filed claims against the Authority in the past 2 years, or have a claim pending before the Authority.



October 1, 2018

## **DELTA CONVEYANCE DESIGN & CONSTRUCTION AUTHORITY**

### **EXPLANATION OF DESIGNATION OF OFFICIALS AND THE ASSIGNMENT OF DISCLOSURE REQUIREMENTS**

Pursuant to Government Code sections 87300 and 87303, as well as 2 California Code of Regulations section 18750.1, the Delta Conveyance Design & Construction Authority (the "Authority") has proposed its initial Conflict of Interest Code (the "Code"). The Code must designate those employees, members, officers, and consultants who make or participate in the making of decisions which may foreseeably have a material effect on a financial interest and are therefore, subject to the disclosure and disqualification requirements of the Code.

The Code must also set forth Disclosure Categories to be assigned to the designated positions requiring individuals holding each position to disclose personal interests that may be affected by the exercise of the individual's duties.

Below is an explanation of the specific designations, their disclosure requirements and the requirements of the Disclosure Categories created.

### **"OFFICIALS WHO MANAGE PUBLIC INVESTMENTS"**

The Authority has delineated those primary officials determined to fall under the definition of "Officials Who Manage Public Investments" as required by the Fair Political Practices Commission (the "FPPC"). The Code does not establish disclosure requirements for these officials as specified in Gov. Code Section 87200.

The positions meeting the definition of "Officials Who Manage Public Investments" have full disclosure requirements and are as follows:

**Members, Board of Directors and their Alternates:** The Board is the primary body responsible for "formulating or approving investment policies," a pivotal component of the management of public funds. [§18700.3]. Therefore, it has been determined that the Members of the Board of Directors and their Alternates meet the definition of "officials who manage public investments." Pursuant to Section 18700.3, these officials are subject to the conflict-of-interest provisions of the Political Reform Act (the "Act") and have full disclosure responsibilities.

**Treasurer:** The Treasurer is the primary Officer responsible to and who works with the Board in "formulating or approving investment policies," and "approving or establishing guidelines" for asset allocations. This position is also the primary Officer responsible for "directing" and/or "approving" investment transactions and requirements. These are all the critical elements in the management of public funds. [§18700.3]. Therefore, it has been determined that this Officer meets the definition of "officials who manage public investments." Pursuant to Section 18730(b)(3), this official is subject to the conflict of interest provisions of the Act and has full disclosure responsibilities.

**Investment Consultant:** This generic position has been added to cover contracting with consultants that specifically advise in portfolio development and investments, or fall under other elements of the definition of the "management of investments."

## **“DESIGNATED POSITIONS”**

The Authority's list of Designated Positions specifically enumerates all positions within the Authority which make or participate in the making of Authority decisions which may foreseeably have a material effect on that position's financial interests.

Disclosure Categories have been assigned to the Designated Positions on a narrow basis in relation to their official duties with the Authority to prevent requiring over-disclosure.

Positions that, by virtue of their positions, are involved in all facets of Authority operations have been assigned Categories 1 and 2 indicating "full disclosure" requirements. Likewise, positions having narrower involvement and/or responsibilities with the Authority have been assigned more limiting disclosure requirements based on the duties of the position. (See Explanation of Types of Disclosure Categories, below.)

Currently, the Authority has very few positions creating its structure.

### **Appraisal and Acquisition Manager – Category 2, 3, 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions through managing the planning, valuation and appraisal of real property interests; negotiates with property owners and tenants; develops and monitors budget; provides input on policy and procedures; approves purchases; and acts as project manager.

**Chief Engineer – Category 2, 3, 5, 6**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions by managing design and construction; oversees development of engineering standards, preparation of construction contracts; and oversees construction management and directs construction claims analysis, claims negotiation and claims settlements.

**Contracting Team Manager – Category 4**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions by developing and managing agreements; coordinates contracting and procurement activities across organization; and analyzes equipment supply options and negotiations.

**Conveyance Mitigation Engineering Manager – Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions by providing project management, engineering and design services, preliminary/final construction documents; construction estimates; and budget estimates and cost management

**Conveyance Mitigation Planning Manager – Category 2, 3, 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in providing management, planning, permitting assistance and leading efforts for conveyance mitigation.

**Engineering Support Team Manager – Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in managing and overseeing development of design platforms and software purchases and contracts.

**Environmental Manager – Category 2, 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in managing and directing planning priorities, including development strategies and plans; negotiate environmental permits and compliance requirements.

**Environmental Permits Manager – Category 2**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in directing and coordinating transition from completion of environmental process to design phase, including to develop, submit and coordinate program permits and requirements.

**Estimating Manager – Category 4**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in performing various

project cost and change order estimates; and developing cost estimating guidelines for use by all feature design teams.

**Executive Director – Category 1, 2**

Added with full disclosure. This position is involved in a broad range of Authority decisions too numerous and varied to narrow.

**Finance & Accounting Manager – Category 4**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions throughout the organization and advises on work to determine the amount and timing of funding needed; manage cash flow requirements; develops short and long term financial plans; oversees vendor payments.

**General Counsel – Categories 1, 2**

Added with full disclosure. This position is involved in a broad range of Authority decisions too numerous and varied to narrow.

**General Technology Manager – Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in administering contracts for server hardware and software, equipment and services.

**Geotechnical Manager– Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in management, planning, engineering and design services; submits recommendations re tunnel engineering design and construction.

**Information Technology and Systems Manager – Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in managing the development and administration of all IT functions, including infrastructure architecture and design; advising on technologies to support business needs; recommend acquisition needs and performance; participate in selection of contractors and manage contracts; develop IT budget and forecast funds needed for equipment, materials and supplies; authorize purchases; and evaluate and approve bids for consultants and service contracts.

**Internal Audit Manager – Category 4**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in developing and overseeing budget for audit purpose; management and oversight of consultants; report re findings and recommendations resulting from audits; formulate and implement policies; and act in an advisory capacity to management.

**Legal Counsel – Category 1, 2**

Added with full disclosure. This position is involved in a broad range of Authority decisions too numerous and varied to narrow.

**Program Controls and Contracting Manager – Category 4**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in selecting, negotiating and awarding engineering design agreements.

**Program Control Manager – Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in development and implementation of control and processes to monitor budget.

**Program Manager – Category 1, 2**

Added with full disclosure. This position is involved in a broad range of Authority decisions too numerous and varied to narrow.

**Property Acquisition Manager – Category 2, 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in planning and directing all Right of Way activities, including appraisals, acquisition, relocation assistance and property management; develop and manage budget; negotiate with outside contractors; and approve payments.

**Pumping Plant Team Manager – Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in budget estimates; develop equipment analysis, evaluation, selection and procurement process; and provide bid phase/engineering services.

**Safety and Risk Manager – Category 5, 6**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in development, implementation and management of risk and safety programs, including risk assessment and recommendations to prevent risks; identify and manage program insurance requirements and make recommendations for liability and claims, reducing identified risks; provide contract language and insurance requirements; and handle certain claim matters.

**Survey and Mapping, Right of Way Manager – Category 2, 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in managing boundary, right of way engineering, title analysis; preparation of cost estimates and contract specifications; establishes scoping/management of surveying contracts; and assists in managing and reviewing engineering contracts activities.

### **Utilities, Power & Access Team Manager – Category 5**

Added with limited disclosure based on duties with Authority. This position makes and participates in making governmental decisions with responsibilities in negotiating and managing power resource contracts; and provides bid phase and engineering services to support construction.

### **Consultants and New Positions**

Consultants is a generic designated position to cover any contracted positions not specifically designated meeting the definition of Consultant under the Political Reform Act and required to file disclosure statements because they may make, participate in making or influence decisions, as defined.

New Positions covers any newly created positions for interim filing requirements pending amendment of the Code.

Consultants and New Positions have specific language appended to them indicating that these positions have full disclosure responsibilities unless specifically narrowed or waived, in writing, by the Executive Director, based on their duties and placed on file with the Authority's Filing Officer. Identification of New Positions and Consultants will be done on FPCC Forms 804 and 805, respectively, and place on file with the Authority's Filing Officer.

## **EXPLANATION OF DISCLOSURE CATEGORIES**

Disclosure Categories identify the types of investments, business entities, sources of income, including gifts, loans and travel payments, or real property which the Designated Employee must disclose for each disclosure category to which he or she is assigned.

The Authority cannot require the Designated Position to over-disclose. Disclosure Categories must be designed and assigned **depending on the duties and responsibilities of the position held**. Therefore, five Disclosure Categories have been designed to be assigned to the various designated positions listed in Part "A" of the Appendix to the proposed Code. This list of Disclosure Categories provides flexibility in the application of the various Categories to the different designated positions but are narrow enough so as not to require over-disclosure by a Designated Position or Consultant.

### **ASSIGNMENT OF DISCLOSURE CATEGORIES:**

**Category 1** requires the disclosure of reportable investments, business positions, and sources of income in the jurisdiction of the Authority.

**Category 2** requires the disclosure of reportable interests in all real property (not including personal residence) located in the jurisdiction of the Authority (or within 2 miles thereof).

The assignment of Categories 1 and 2 means the Designated Position has full disclosure requirements of reportable interests that own real property, are located in, do business in or have done business in the Authority's jurisdiction in the past two years of filing a statement. These Categories are usually assigned to General Counsel, and other very broad decision-makers whose responsibilities are too broad to be narrowed and warrant full disclosure. These are also the disclosure requirements provided Consultants, as defined, and New Positions if not narrowed in writing as described above.

**Category 3** is limited to interests in entities involved in land development, construction or buying/selling real property. This is usually assigned narrowly to such positions as planners or engineers, or other project managers.

**Category 4** is limited to interests in entities that provide services, supplies, etc. of the type used by the Authority. This Category is reserved for positions that are involved in the Authority on a broad basis touching a variety of departments and are therefore, unable to be narrowed to one department, division or area. Positions assigned this Category are usually involved in broad areas of administration and fiscal services.

**Category 5** is limited to interests in entities that provide services, supplies, etc. of the type used by a Designated Position's department, division or unit. This Category is assigned to positions involved in limited aspects of the Authority so that disclosure requirements can be narrowed to the position's specific area in order to avoid requiring over-disclosure. This Category is also used to assign to Consultants in specific areas.

**Category 6** is limited to interests in entities and sources if such have filed claims against the Authority in the past 2 years, or have a claim pending before the Authority. Positions assigned this Category are usually involved with handling or making recommendations regarding claims filed against the agency.

## Board Memo

**Contacts:** Sergio Valles, Chief Engineer  
Adrian Brown, Interim Procurement Manager  
Jay Arabshahi, Agreement Administrator

**Date:** 11/15/2018 Board Meeting

**Item No. 9b**

**Subject:**

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Consider Passing Resolution Authorizing a Professional Services Agreement to Provide Engineering Design Management Services.

**Executive Summary:**

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After completing a competitive solicitation via a Request for Qualifications (RFQ) and evaluation process, staff recommends that the Board authorize the Executive Director to negotiate and execute a professional services agreement with the most qualified consultant, CH2M HILL Engineers, Inc., to provide Engineering Design Management Services (EDM) for Phase 2 work for a term of five (5) years in a not-to-exceed amount of 110,000,000 dollars [93,000,000 dollars plus a contingency of 17,000,000 dollars], with spending to be managed via the issuance of Task Orders consistent with board-adopted budgets.

**Detailed Report:**

---

The multi-billion dollar California WaterFix (CWF) project involves constructing conveyance facilities which include three intakes, two large diameter tunnels, two forebays, a pumping plant and canals to deliver water from the Sacramento River to the existing State Water Project (SWP) and Central Valley Project pumping plant located 42 miles away in the southern end of the Delta. During the estimated 15-year CWF construction period, an Engineering Design Management Services (EDM) Consultant is needed to provide expert technical advice and consultation to assist in implementing the CWF during the design phase.

The anticipated scope of the EDM Consultant includes: 1) organizing, coordinating and managing the design services of multiple engineering and technical firms in the preparation of plans and specifications; 2) conducting specialized engineering studies and design services to refine the CWF; 3) providing construction phase support services; and 4) providing various engineering planning and reporting activities.

RFQ 10138585 was issued on December 7, 2017, to procure Engineering Design Manager Services. A total of four (4) statements of qualifications (SOQs) were received in response to the RFQ. A panel of six (6) members from agencies with a stake in the project, consisting of four (4) Chief Engineers, one (1) Manager of Engineering and one (1) Deputy Operating Officer



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concurrently reviewed the written SOQs and conducted interviews with all four prospective candidates.

The top scoring RFQ candidate is CH2M Hill. Staff recommends that the DCA Board authorize the Executive Director to negotiate and execute a professional services agreement with the most qualified consultant, CH2M Hill, to provide Engineering Design Manager (EDM) Services for a term of five (5) years in a not-to-exceed amount of 110,000,000 dollars [93,000,000 dollars plus a contingency of 17,000,000 dollars].

Phase 1 conceptual design services were completed during the planning phase. Under the recommended agreement, the EDM Consultant will assist the DCA during Phase 2 preliminary and final design. An EDM Consultant will also be needed for Phase 3, Construction Support Services, when construction contracts are awarded but the current scope of work does not include this construction support phase.

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**Funding:**

Current funding is for Phase 2, only. Funding requests for Phase 3 will be submitted to the Board prior to or at the same time as the award of construction contracts.

The Fiscal Year 2018-19 budget for Engineering Design Manager professional services is \$5.75 million, which will be funded through contributions provided by DWR and the State Water Contractors participating in the California WaterFix.

Funding for successive years will be provided through remaining contributed funds, bonds issued by the DWR, or funds raised by the Delta Conveyance Finance Joint Powers Authority through WIFIA loans, bond issuances or other methods.

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**Recommended Action:**

Adopt the attached resolution authorizing the Executive Director to negotiate and execute a five-year contract, in a not-to-exceed amount of \$110,000,000 dollars [\$93,000,000 dollars plus a contingency of \$17,000,000 dollars] for Phase 2 work, with CH2M HILL Engineers, Inc., for Engineering Design Management (EDM) Services, with spending to be managed via the issuance of Task Orders consistent with board-adopted budgets.

**Attachments:**

Attachment 1: Resolution

Attachment 2: Engineering Design Manager Presentation

**BOARD OF DIRECTORS OF THE DELTA CONVEYANCE DESIGN AND  
CONSTRUCTION AUTHORITY**

**RESOLUTION NO. 18-XX**

**Introduced by Director xxxx**

**Seconded by Director xxxx**

***PROFESSIONAL SERVICES AGREEMENT FOR ENGINEERING DESIGN MANAGEMENT (EDM)***

Whereas, there is a need to procure professional services for Engineering Design Management (EDM); and

Whereas, CH2M HILL Engineers, Inc., was selected as best qualified to provide such services via an RFQ solicitation followed by evaluation by a scoring panel;

Now, therefore, be it resolved that the DCA Board hereby authorizes the Executive Director to negotiate and execute a professional services agreement with CH2M HILL Engineers, Inc., to provide Phase 2 Engineering Design Management services, to be directed by the Executive Director and staff, in a not-to-exceed total amount of \$110,000,000 dollars [\$93,000,000 dollars plus a contingency of \$17,000,000 dollars]; and

Be it further resolved that the DCA Board directs the Executive Director to issue Task Orders as and when needed to direct the progress of work and expenditures, consistent with Board-adopted budgets.

\* \* \* \* \*

This Resolution was passed and adopted this 15<sup>th</sup> day of November, 2018, by the following vote:

Ayes:

Noes:

Absent:

Abstain:

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Tony Estremera, Board President

Attest:

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Sarah Palmer, Secretary



**DCA**

**DELTA CONVEYANCE DESIGN  
& CONSTRUCTION AUTHORITY**

*California WaterFix*

## ENGINEERING DESIGN MANAGER (EDM)

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Delta Conveyance Design and Construction Authority (DCA)  
November 15, 2018 | Agenda Item 9b | Attachment 2

## BACKGROUND

The multi-billion dollar California WaterFix (CWF) project involves constructing conveyance facilities which include three intakes, two large diameter tunnels, two forebays, a pumping plant and canals to deliver water from the Sacramento River to the State Water Project facilities (SWP) in the South Delta.



# REQUEST FOR QUALIFICATIONS

Engineering Design Manager (EDM)

## BACKGROUND

The EDM team is to provide expert technical advice and professional services to assist in implementing the CWF, during the design and construction support phases.

- Phase 1: Completed during planning phase
- Phase 2: Preliminary and final design (current services)
- Phase 3: Construction support (future)

## EDM SUPPORT TO BE PROVIDED

The EDM will assist the DCA in the following during Phase 2:

1. Organizing, coordinating and managing design services for multiple engineering/technical firms.
2. Conducting specialized engineering studies and providing design services to refine the scope of the CWF.
3. Providing engineering planning and reporting activities.

## SOLICITATION PROCESS

- RFQ No. 10138585 was issued on December 7, 2017.
- Four responses (SOQs) were received.
- Respondents who qualified as SBE/DVBE received 100 points (none qualified for the incentive points but deemed responsive).
- SOQs assessed by evaluation committee (five criteria).
- Best and Final Offer was requested from the top respondent (yielded changes to their fee schedule).
- Awarded to highest respondent (maximum score 1,000).
- Recommend to award for Phase 2 work to the highest scoring respondent, CH2M Hill Engineers, Inc.



# ANTICIPATED EDM SPENDING PLAN AND SCHEDULE



## RECOMMENDED ACTION

- Authorize the Executive Director to negotiate and execute a five-year professional services agreement with the following Consultant to provide Engineering Design Management Services for Phase 2, with spending to be managed via the issuance of Task Orders consistent with board-adopted budgets.

RESPONDENT	YEAR TERM	NOT-TO-EXCEED
CH2M Hill Engineers, Inc.	5	\$110 Million (\$93 million plus \$17 million contingency)



# QUESTIONS?

## **Board Memo**

**Contacts:** Jill Duerig, Interim Executive Director

**Date:** 11/15/2018 Board Meeting

**Item No. 9c**

**Subject:**

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Presentations on Types of Alternative Delivery Methods, Financing and Case Studies

**Executive Summary:**

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Director Blois requested a presentation outlining alternative delivery methods. Such presentations had recently been given to the Sites Reservoir Authority and to DCA staff so condensed versions were requested from these consultants. In response, consultants from Sperry Capital (Jim Gibbs/Garth Salisbury), KPMG (Gareth Lee), Infra Associates (Chris Margaronis) and AECOM (John Bischoff), while not under contract to DCA, have all volunteered to present some background information at the meeting.

**Recommended Action:**

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Information, only.

**Attachments:**

Attachment 1: California WaterFix Delivery Options Discussion Presentation

Attachment 2: Alternative Delivery Methods for Design and Construction of Major Civil Infrastructure Projects Presentation

Delta Conveyance Design and Construction Authority

# California WaterFix Delivery Options Discussion

November 15, 2018

Agenda Item 9c | Attachment 1



# Agenda

- Introduction and Objectives
- Understanding WaterFix
- Reasons for Exploring Alternative Delivery
- Key Characteristics
- Range of Delivery Options
- Common Concerns
- Evaluating Benefits of Alternative Delivery Options
- Sample Projects
- Next Steps

# Introduction

## Presentation Team and Objectives

### **Jim Gibbs and Garth Salisbury of Sperry Capital Inc.**

- Sperry Capital is a Municipal Advisory/Consulting Firm based in Sausalito, CA
- Jim Gibbs – Principal at Sperry Capital with over 35 years of experience financing/advising on public utility infrastructure projects
- Garth Salisbury – Principal at Sperry Capital with over 30 years of experience financing/advising on public utility infrastructure projects

### **Gareth Lee of KPMG Corporate Finance LLC**

- KPMG is a 120 year old Global Professional Service Company
- Gareth Lee – Director in the Corporate Finance Department has over 15 years experience advising clients on infrastructure project development

### **Chris Margaronis of Infra Associates**

- Infra Associates is an Infrastructure Advisory Firm based in Manhattan Beach, CA
- Chris Margaronis – Managing Partner has over 10 years of public and private sector experience executing infrastructure projects in California.

# Today's Objectives

## **Goal: Leave the Board with These Important Take-Aways**

- High Level Discussion to inform the Board about Alternative Delivery Options for the WaterFix Project
- Alternative delivery options can produce better project outcomes when compared to traditional design-bid-build
- As Strategic Advisors we are not advocating one project delivery method over another
- We propose to advise DCA on your selection of potential Delivery Options
- A Detailed Strategic Assessment and subsequent Business Case must be undertaken to determine what, if any, Alternative Delivery Option is appropriate for each component of the Project



# Project understanding

## Summary Understanding

### Overview

- New water diversion facilities near Courtland to convey water
- 2 tunnels up to 150' below ground designed to protect California's water supplies
- 3 new intakes, each with 3,000 cubic-feet per second (cfs) capacity and an average annual yield of 4.9 million acre-feet
- WaterFix is a multi-faceted project that will require several delivery contracts

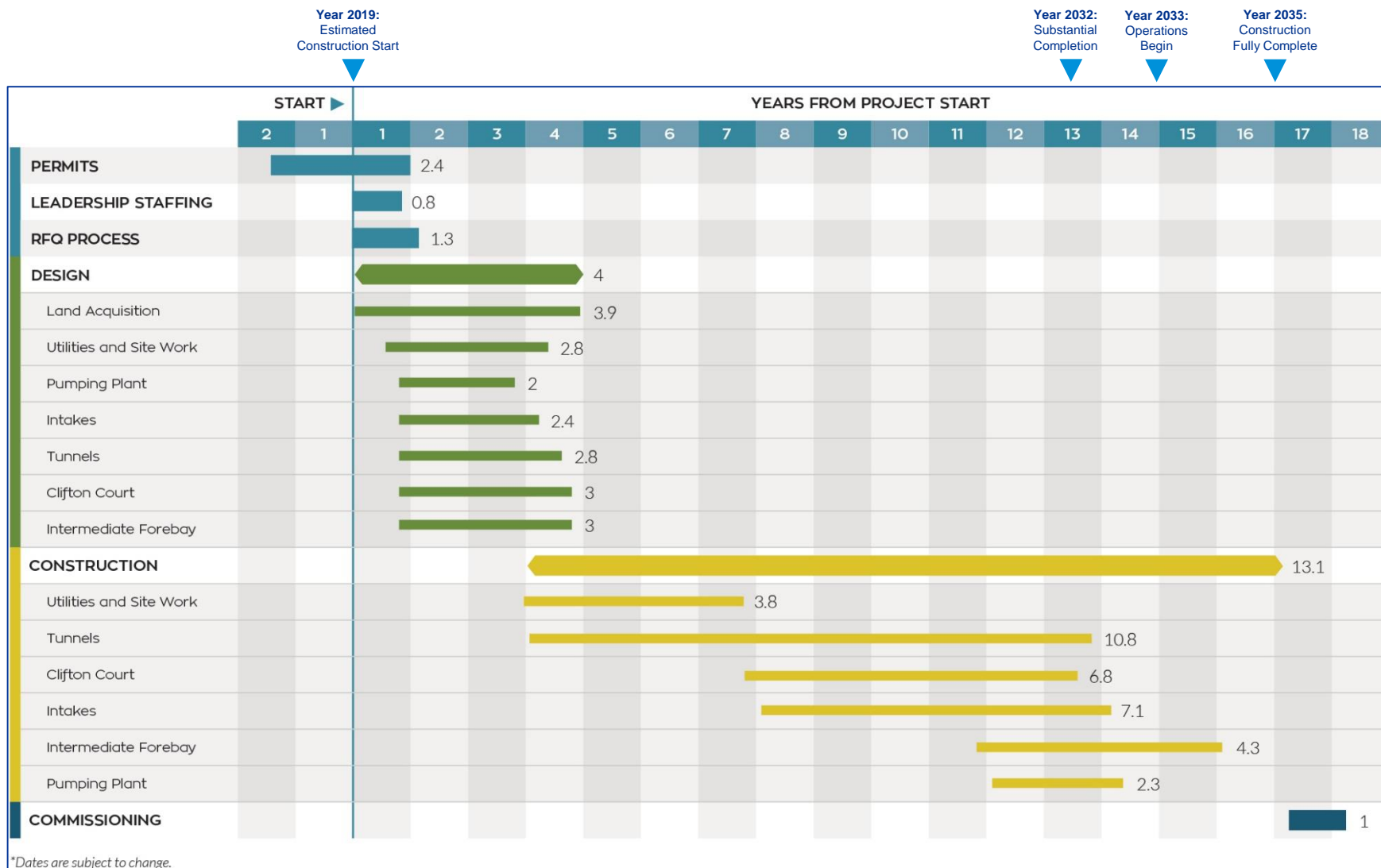
### Summary Costs

- Total design and construction costs estimated at \$16.73 billion in 2017 dollars
- O&M, and mitigation for the first 15 years ~ \$39.1 million per year
- O&M costs increase to \$64.4 million per year, including capital replacements and \$20.3 million in O&M mitigation annually (first 50 years, O&M \$44.1 million per year thereafter)

### Summary Funding/Financing

- WIFIA Financing
- Participating water contractors
- Other sources

# Project schedule



Source: California WaterFix Program Website. Schedule last updated in May 2018

# Reasons for exploring alternative delivery options

**Faced with large and complex capital projects, public agencies often explore appropriate alternatives for delivery. These may be driven by project objectives around several key areas, including:**

- Cost and schedule control
- Transfer of responsibility (single point of responsibility)
- Transfer of risk to party best suited to manage
- Accountability
- Ability for innovation
- Synergy between project phases
- Value engineering
- Ability to consider operational and lifecycle impacts during construction

# Key Characteristics

## Common characteristics of alternative delivery options:

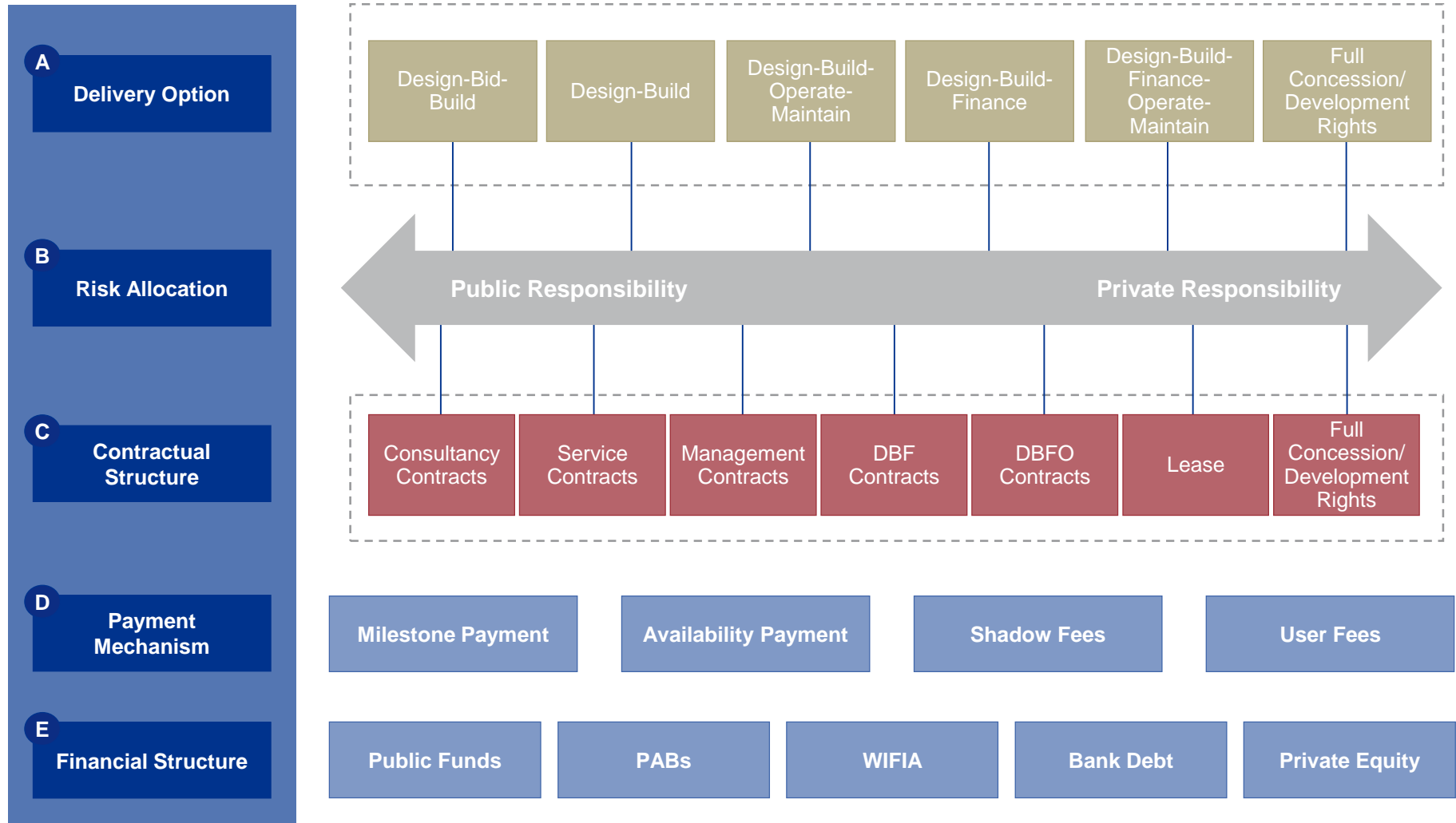
*Delivery options beyond Design-Bid-Build may include the following characteristics:*

- May include design, construction, finance and/or operations and maintenance
- Sharing of risk between the public and private sectors in an optimized fashion
- Innovative financing
- Design innovation
- Competitive bidding
- Contractual incentives to ensure the private partner meets obligations
- Long-term contract

*What they are not:*

- Transfer of ownership of public assets to the private sector
- Privatization of public sector assets
- Loss of public sector control of assets

# Range of delivery options



# Common Concerns

Several concerns are generally raised by agencies and stakeholders prior to considering alternative options.

## Perception

- P3 equals privatization
- P3 cost more (vs. tax-exempt bonds)
- P3 leads to job losses
- Quality of service will decline under the P3 model
- The Public sector loses control over services
- Private investors can earn excessive profits

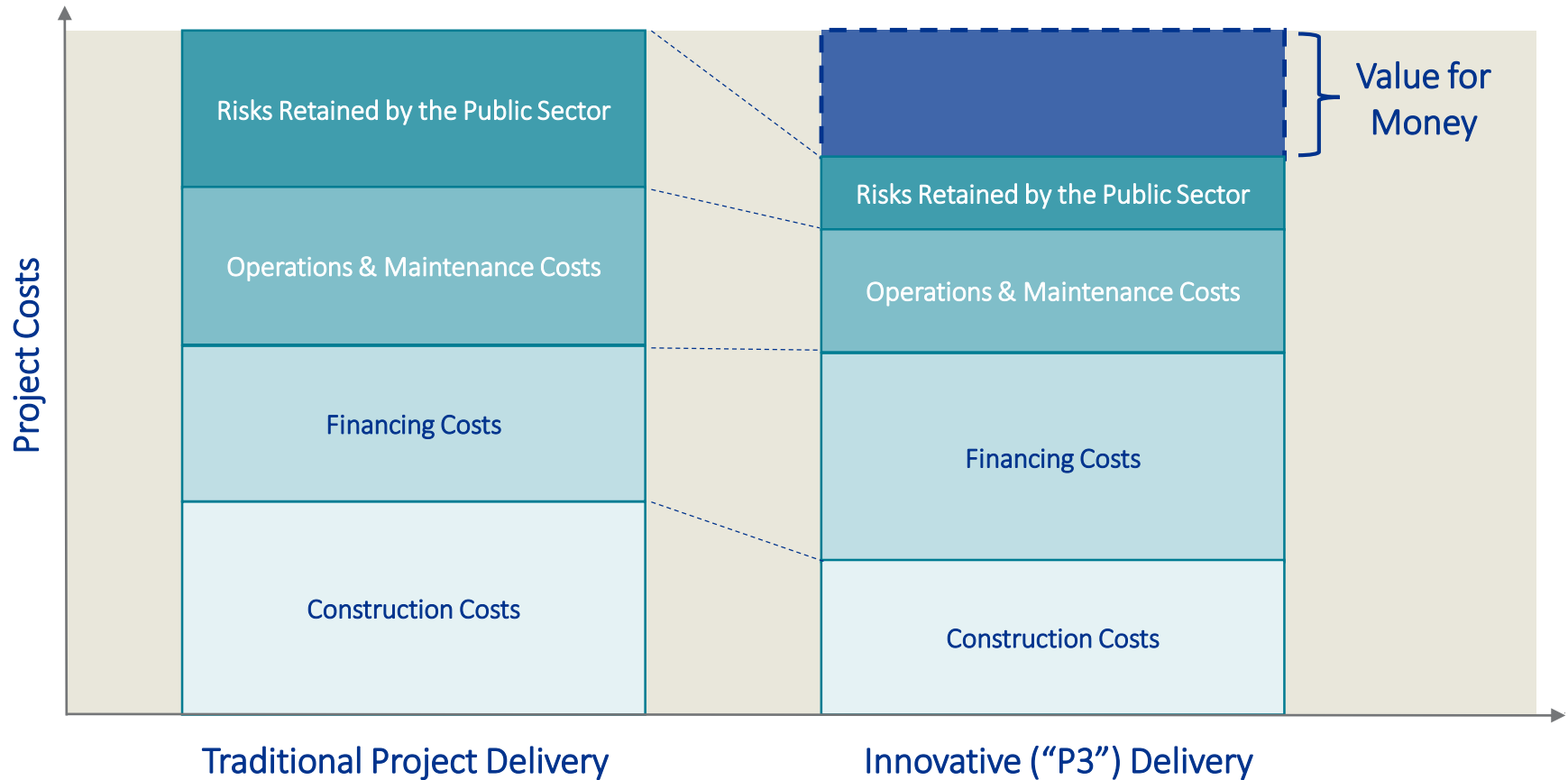


## Reality

- Public sector defines project requirements
  - Public partner often retains ownership and control
- P3s account for Whole Life Costs, not just upfront capital costs
  - Competitive tension reduces costs
  - Schedule and cost savings can offset the higher cost of capital
- Additional investment helps protect and produce more jobs
  - New infrastructure helps stimulate economic growth
- Payment mechanism regulates performance
  - Penalties can accrue and lead to default
- Public sector has direct oversight, contract management role
  - Regular reporting requirements keep public sector informed
- Revenue or profit sharing requirements protect public sector
  - Re-finance gain-sharing requirements protect against windfalls
  - Profits can be fixed

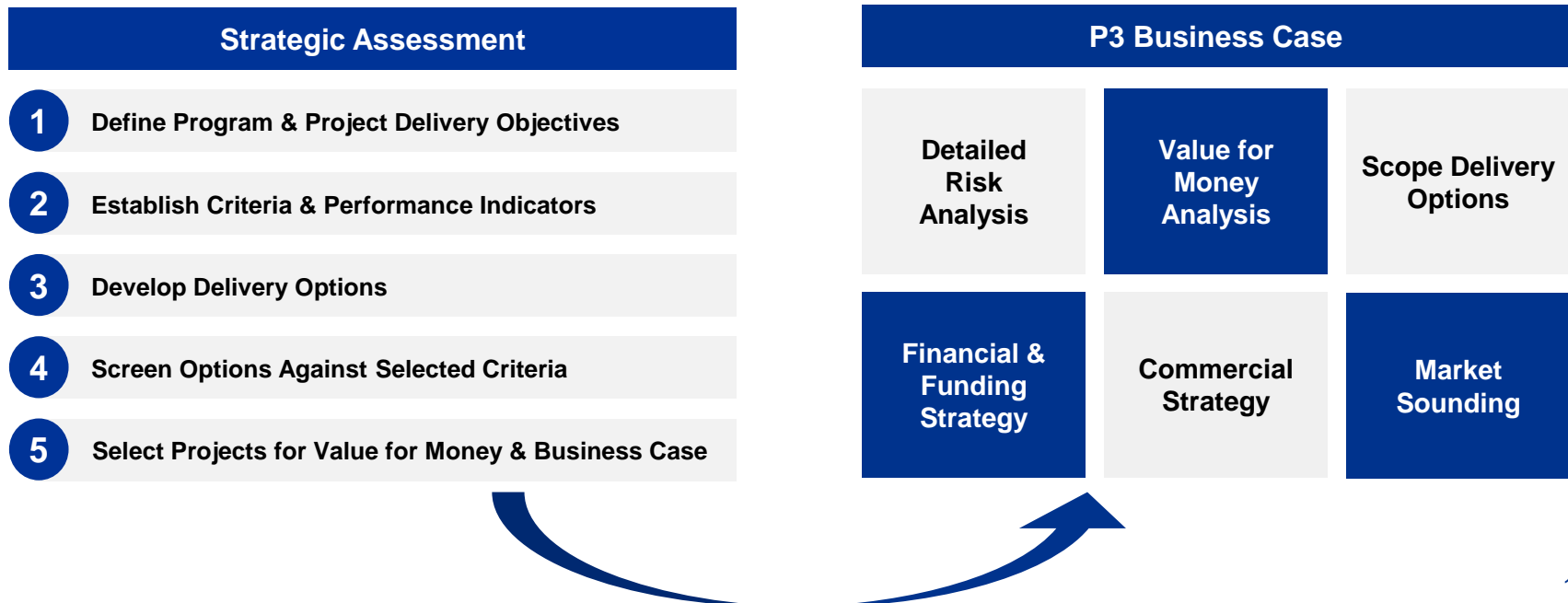
# Evaluating potential benefits of alternative delivery

**Value for Money** is a quantitative and qualitative analysis of delivery options against a public sector comparator (such as Design-Bid-Build) reflecting the traditional approach.



# Next Steps

- Alternative delivery options can produce better project outcomes when compared to traditional design-bid-build.
- Alternative delivery options would require legislation.
- Alternative delivery options require thorough, detailed preparation of project agreements on the front end to ensure appropriate risk transfer terms, performance requirements, and project controls
- Engage a Strategic Advisory Team to assist DCA in a strategic assessment to determine the optimum delivery method for each element of the project.
- Conducting a Strategic Assessment and subsequent Business Case with supporting risk and financial analyses provides the basis for public agencies to make the selection of alternative delivery methods





# Sample of Alternative Delivery Tunnel Projects

Project	Location	Tunnel Length	Delivery Model	Relevant Information
Elizabeth River Tunnels	Norfolk, VA	3,800 feet	DBFOM	<ul style="list-style-type: none"> <li>Four lane road tunnel through the main channel of the Elizabeth River in Norfolk that is the first all-concrete, deep-water immersed tunnel tube in the U.S.</li> <li>US\$2.1 billion project completed by Elizabeth River Crossings (major equity holders Skanska and Macquarie) with a concession term of 58 years</li> <li>Project included US\$422 million in TIFIA loans and US\$664 million in private activity bonds</li> <li>Operators retain revenue/demand risk</li> </ul>
Regional Connector Transit Project	Los Angeles, CA	1.9 miles	DB	<ul style="list-style-type: none"> <li>1.9 mile twin-bore light rail transit tunnel in Downtown Los Angeles, which would link two existing and separate LA Metro light rail systems</li> <li>US\$1.8 billion project that received US\$670 million in New Starts funding from the Federal Transit Administration, US\$160 million in TIFIA credit assistance, and over US\$263 million in authorized State of California bonds. Remainder of project to be funded by local contributions and taxes (Measure R)</li> <li>Construction started in 2014 and completion is expected in 2021.</li> </ul>
Purple Line Extension Sections 1 and 2	Los Angeles, CA	6.5 miles	DB	<ul style="list-style-type: none"> <li>6.5 mile, 5-station high-capacity subway extension currently under construction in West Los Angeles; a further 2.6 mile expansion is currently under study to extend the system to UCLA</li> <li>Section 1 costs US\$2.8 billion and is anticipated to open by 2023</li> <li>Section 1 received US \$1.25 billion in federal New Starts funding, with the remainder to be funded by local contributions and taxes</li> <li>Section 2 costs US\$2.4 billion and is anticipated to open by 2025</li> <li>Section 2 received US\$1.19 billion in federal New Starts funding and US\$307 million in TIFIA credit assistance, with the remainder to be funded from other state and local sources</li> </ul>

# Sample of Alternative Delivery Tunnel Projects

Project	Location	Tunnel Length	Delivery Model	Relevant Information
Port of Miami Tunnel	Miami, FL	4,200 feet	DBFOM	<ul style="list-style-type: none"> <li>One mile, twin-bore road tunnel beneath a ship channel to connect the Port of Miami to Interstate 95.</li> <li>US\$1.0 billion project completed in 2014 by P3 of Florida DOT, Miami-Dade County, Miami and Miami Access Tunnel Concessionaire LLC (MATC).</li> <li>MATC has a 31 year concession to design, build, finance, operate and maintain the tunnel.</li> <li>France's Bouygues Travaux Publics SA, one of the Chunnel contractors, led the construction and was fined for delays while addressing some mechanical defects.</li> </ul>
Thames Tideway	London, UK	15 miles	DBFOM	<ul style="list-style-type: none"> <li>15 mile, 24-foot wide wastewater tunnel diverting London flow from Thames River and conveying to a regional treatment plant.</li> <li>£4.2 billion project being developed by a regulated private entity, Bazalgette Tunnel Limited, under a 125 year agreement with London to design, build, finance, operate and maintain the tunnel. The project has three reaches with separate construction consortia for each.</li> <li>Construction started in 2016 and completion is expected in 2024.</li> </ul>
London Crossrail (Elizabeth Line)	London, UK	13 miles	DB	<ul style="list-style-type: none"> <li>73 mile east-west rail line serving greater London, with over 13 miles of tunnels</li> <li>US\$20 billion project delivered through several design-build packages, with over US\$10.7 billion in funding from Transport for London/Greater London Authority and US\$6.5 billion from the UK government</li> <li>Operations/franchise, rolling stock, and infrastructure maintenance contracts awarded under three separate tenders</li> <li>System opening expected in 2019</li> </ul>

# Challenges Facing Precedent Tunnel Projects

## Central Artery Tunnel Project (“Big Dig”), Boston, MA



- **Project Description:** Two separate 8 to 10 lane highway tunnels (totaling 3.1 miles), 1 cable-stayed 8 to 10 lane highway bridge (1,400 feet), and a linear waterfront park to replace the elevated Interstate 93 viaduct in Downtown Boston
- **Original Cost Estimate:** \$2.6 billion (in 1982); original completion expected in 1998
- **Final Cost Estimate:** \$24.3 billion (final estimate); actual final completion in 2007
- **Delivery Method:** Traditional Design-Bid-Build (DBB)
- **Drivers of Cost Overruns / Delays:**
  - Environmental clearance took ten years to achieve
  - Delayed government policy decision on alignment (e.g. Charles River bridge option) and related scope creep
  - Unknown geotechnical conditions in historic Boston center delayed opening of tunnels (retained by MassDOT)
  - Inflationary impacts as preliminary estimate was developed in 1982

## Alaskan Way Viaduct Replacement Tunnel, Seattle, WA



- **Project Description:** Four-lane long-bored underground road tunnel (2 miles) through Downtown Seattle and the historic Pioneer Square neighborhood
- **Original Cost Estimate:** \$3.14 billion (in 2013); original completion expected in 2015
- **Current Cost Estimate:** \$3.29 billion (current estimate); expected full completion in 2019
- **Delivery Method:** Design-Build / Alternative Delivery
- **Drivers of Cost Overruns / Delays:**
  - Tunnel boring machine halted for two years as machine seals needed replacing due to hitting unknown steel pipe
  - Geotechnical responsibility is currently being litigated on between WSDOT and the construction contractor
  - Rising construction costs due to Seattle property market conditions
  - Costs related to need to retain engineering and construction staff on payroll during boring machine delay

## Confederation Light Rail Line Stage 1, Ottawa, Canada



- **Project Description:** 7.8 mile, 13 station light rail system with a 1.6 mile tunnel segment in downtown Ottawa
- **Original Cost Estimate:** CA\$2.1 billion (in 2013); original completion expected in 2018
- **Current Cost Estimate:** CA\$2.1 billion (current estimate); with opening expected in 2019
  - If the developer does not meet the revised Nov 2018 deadline, it could be on the hook for several penalty events for non-completion (CA\$1 million each) and CA\$260 million in withheld milestone payments
- **Delivery Method:** Design-Build-Finance-Maintain (DBFM) / Alternative Delivery
- **Drivers of Delays:**
  - Sinkhole and flooding in a city center tunneling segment in 2016 due to wet sandy soil has delayed system completion
  - Responsibility for sinkhole still being discussed between City and developer. The City has without penalty revised the next contractor milestone date to November 2018 to account for the “force majeure” sinkhole event

# Alternative Delivery Outcomes

**Alternative delivery projects have produced superior results in both cost and time performance when compared to traditional Design-Bid-Build delivery**

- The 2007 study, ***Performance of PPPs and Traditional Procurement in Australia***, done for the Infrastructure Partnership Australia Organization, quantified the benefits of alternative delivery:
  - Studied 21 Public-Private Partnerships and 33 traditional infrastructure projects.
  - Measured the cost performance and schedule outcomes relative to budgets and project schedules.
- The study concluded that:
  - Alternative delivery produced superior results in both cost and time performance
  - The advantage of alternative delivery increased with the size and complexity of the projects.
  - From inception to project completion, alternative delivery projects were 30.8% more cost efficient.
  - The 21 alternative delivery projects with a combined budget of \$4.9 billion were over budget, in the aggregate, by \$58 million or 1.2% (measured from the award and start of construction)
  - The 33 traditional projects had a combined \$4.5 billion of project cost and were over budget by \$673 million or 15.0% (measured from the award and start of construction)
  - Schedule performance: on a value-weighted basis, traditional projects were completed later than alternative delivery projects.
    - Alternative delivery – completed 3.4% ahead of schedule
    - Traditional projects – completed 23.5% behind schedule.
  - Project size had an adverse effect on traditional project schedules while alternative delivery project schedules were unaffected by size.

# Questions and Answers?





# Alternative Delivery Methods for Design and Construction of Major Civil Infrastructure Projects

John Bischoff (AECOM)

November 15, 2018



COMPREHENSIVE ENGINEERING, ENVIRONMENTAL, AND CONSTRUCTION SERVICES

Agenda Item 9c | Attachment 2



# Discussion Topics

- Overview
- Presentation of Alternative Project Delivery Methods
- Summary

# What Do We Mean by Alternative Project Delivery?

- Alternative ways to contract for design and construction services to deliver a project
- For public works projects, Design-Bid-Build (D/B/B) has been the most conventional delivery method used.
- In recent years, other delivery methods have been gaining wider acceptance.



# Alternative Project Delivery Methods - - Goals and Objectives

General Project Objectives - - Project must be

- Economically viable and efficient
- Completed on-time, below budget
- Environmentally acceptable
- Sustainable
- Broadly accepted by the public



To meet the project objectives, both the Owner's and the Contractor's objectives need to be considered ...

# Owner's and Contractor's Objectives.....

.... Are Sometimes Diverging

Owner's Objectives	Contractor's Objectives
■ Optimize cost	■ Maximize profits
■ Maximize quality	■ Maximize workforce efficiency
■ Early delivery	■ Meet Schedule
■ Flexibility to change	■ Receive equitable payment for changes during construction
■ Delegate risk	■ Minimize contractor risk
■ Having control of the design	■ Cover all expenditures

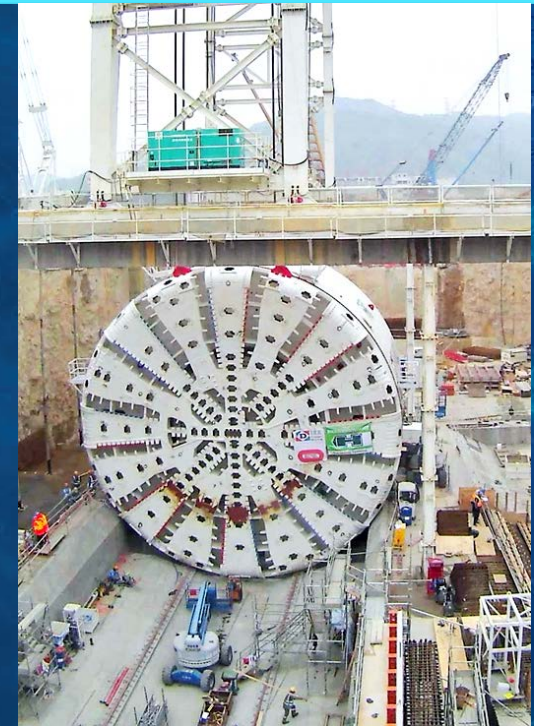


# Alternative Project Delivery Methods

1. Design/Bid/Build (D/B/B)
2. Traditional Design/Build (D/B)
3. Progressive Design/Build
4. Construction Manager at Risk (CMAR)
5. Portland Method
6. Project Alliance
7. Other

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*Each of these alternatives has its own merits, and can sometimes be used in combination with each other for large multi-feature Projects .*



Tuen Mun, China  
57.7 ft. Slurry TBM in Launch Shaft

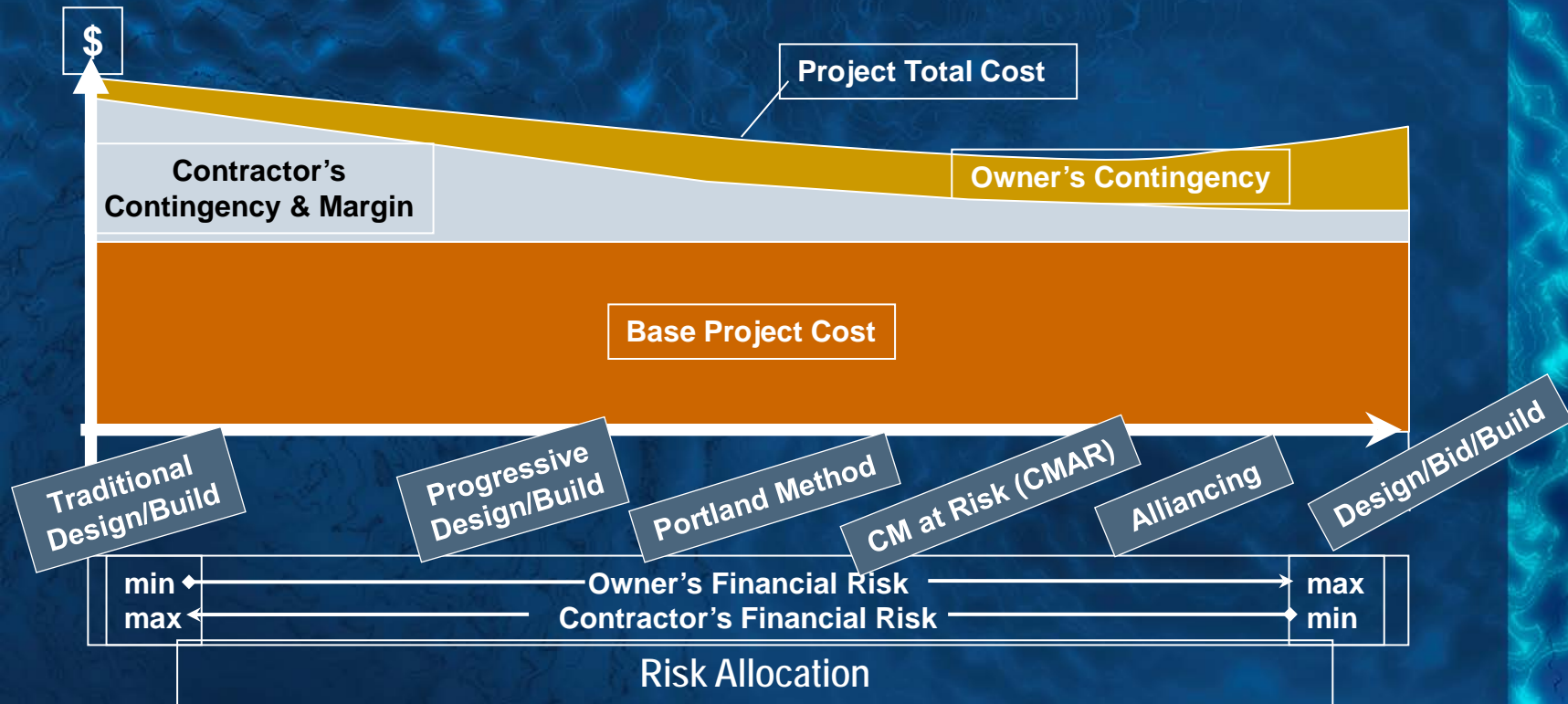


# Common, Yet Very Important Project Risks

- Site Access - Logistics
- Unanticipated Subsurface Conditions
- Utility Service Interruptions
- Late Delivery of Critical Equipment
- Weather
- External Impediments
- Escalation
- Volatility of Commodity Pricing
- Labor Shortages – Skilled, Unskilled
- Intervention – Local Community Relations
- Security
- Equipment performance
- Working Hour Restrictions
- Regulatory Agency Requirements

# Spectrum of Owner and Contractor Risk Allocation

- Who holds the project Contingency?
- Risk extremes are "D/B" and "D-B-B"



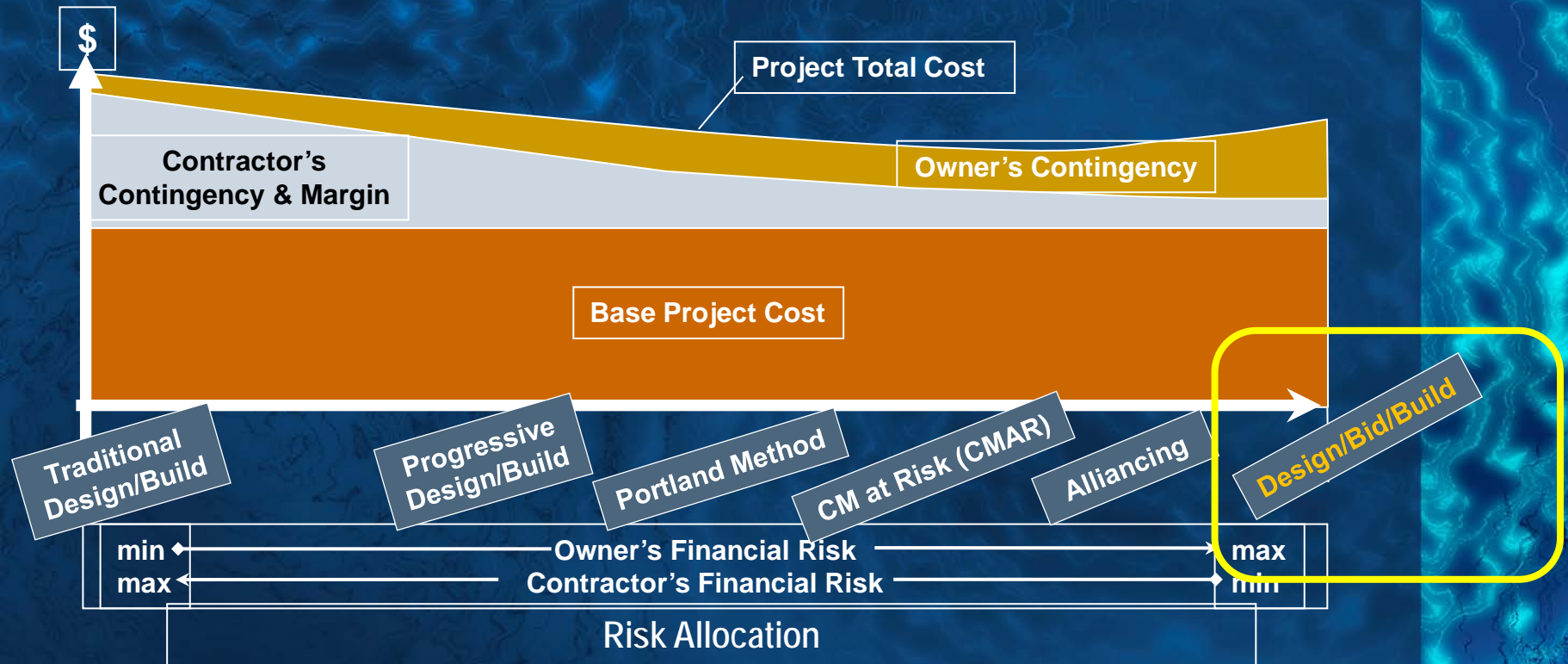


# Alternative Project Delivery Methods

1. Design/Bid/Build (D/B/B)
2. Traditional Design/Build (D/B)
3. Progressive Design/Build
4. Construction Manager at Risk (CMAR)
5. Portland Method
6. Project Alliance
7. Others

# 1. Design-Bid-Build (D/B/B)

- Spectrum of options
- Spectrum of Owner and Contractor Risk Allocation (i.e. Who holds the contingency?)
- Risk extremes are "D/B" and "D-B-B"
- Owner chooses optimal cost/risk/control allocation





# 1. Design/Bid/Build (D/B/B)

## *Key Elements*

- Well established, most widely used project delivery method
- Strong, proven, contractual basis
- Contractor and Owner interests are not always aligned
- Can end up being adversarial



Calaveras Dam



# 1. Design/Bid/Build (D/B/B)

## *Main Risks*

Risk	Possible Result
■ Incomplete investigations and/or inadequate design details	■ Claims
■ Poorly defined risk allocation	■ Time extensions/claims
■ Claims resolution and litigation	■ High costs/time issues
■ Higher risk projects	■ Contingencies on contingencies/ owner pays a premium for same risk
■ Longer Schedule	■ Potential for increased uncertainty in market pricing for equipment and commodities

# 1. Design/Bid/Build (D/B/B)

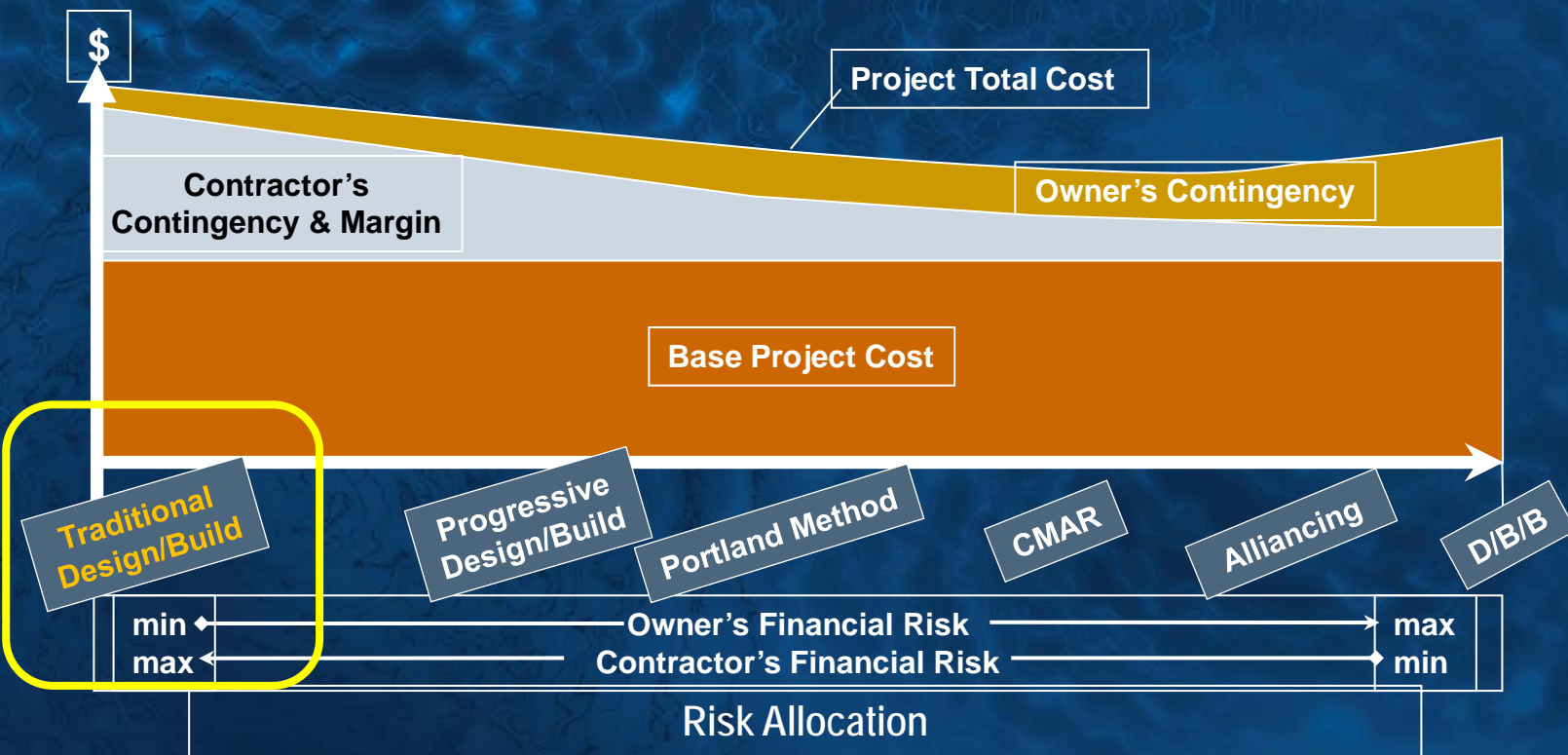
## *Key Steps Needed for Managing and Mitigating Risks with D/B/B*

- Comprehensive site investigations
- Robust, constructible design details
- Clear definition of risk allocation in contracts
- Fair allocation of the cost of risk
- Establishment of strong partnering culture



## 2. Design/Build (Traditional) (D/B)

- Spectrum of options
- Spectrum of Owner and Contractor Risk Allocation (i.e. Who holds the contingency?)
- Risk extremes are "D/B" and "D-B-B"
- Owner chooses optimal cost/risk/control allocation



## 2. Design/Build (Traditional)

### *Key Elements*

- Designer and contractor on the same contractor-led team to deliver a project
- Risk is allocated to contractor/designer
- Owner often has limited influence on design
- Works best where risks are well defined and schedule is limited
- Performance disappointment is not uncommon





## 2. Design/Build (Traditional)

### *Bid Phase*

- Typically 3 designer/contractor teams are short-listed
- Design concept may not be fully developed at time of bid
- Environmental permitting process sometimes done concurrently
- Bidders usually fund up-front design work
- Limited geotechnical baseline information
- Strong inducement for cost saving innovations
- Limited time for design and bidding

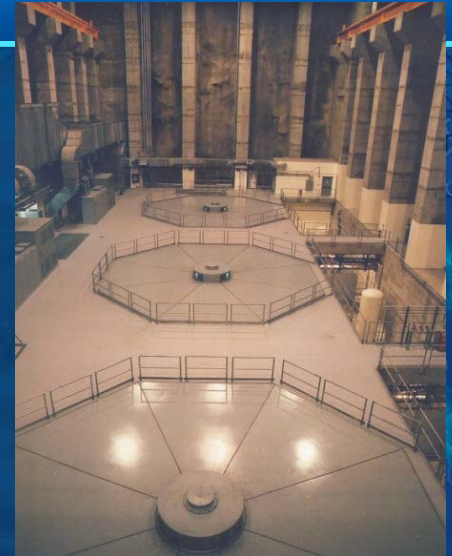




## 2. Design/Build (Traditional) Cont.

### *Design Phase*

- Design is typically fast-track
- High risk of data gaps with fast track geotechnical & environ. investigations
- Little time to improve the concept design
- Limited innovation because focus is typically on refining previously delivered projects
- Early constructability reviews by contractor team member
- Schedule advantages result from ability to initiate construction prior to completing all detailed designs





## 2. Design/Build (Traditional) Cont.

### *Construction Phase*

- High risk of Changed Conditions
- Active designer role can help manage risk
- Contractor **allowed** to build project with limited interference by owner
- Problems must be resolved in a timely manner
- Fast paced with a strong schedule incentive
- Reduced opportunity for contractor claims against owner - - as long as Owner fulfills its obligations



## 2. Design/Build (Traditional) Cont.

*Primary Benefit of D/B Delivery*

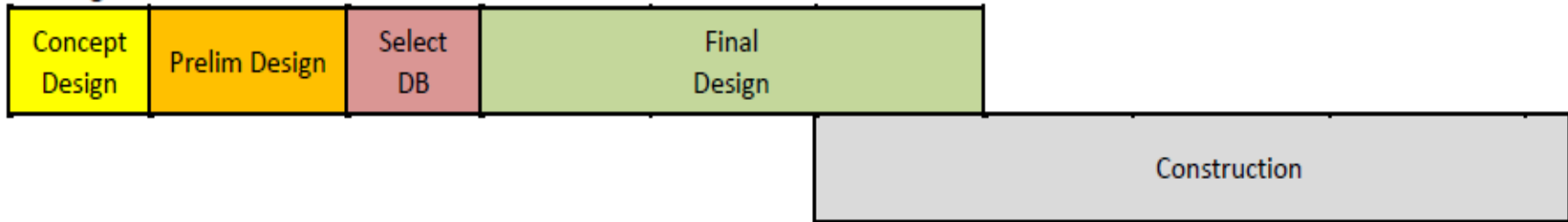
*Shorter schedule and less schedule risk (reduced interfaces)*

### Conceptual Comparison of DBB and DB Project Delivery Schedules

#### Design-Bid- Build



#### Design-Build



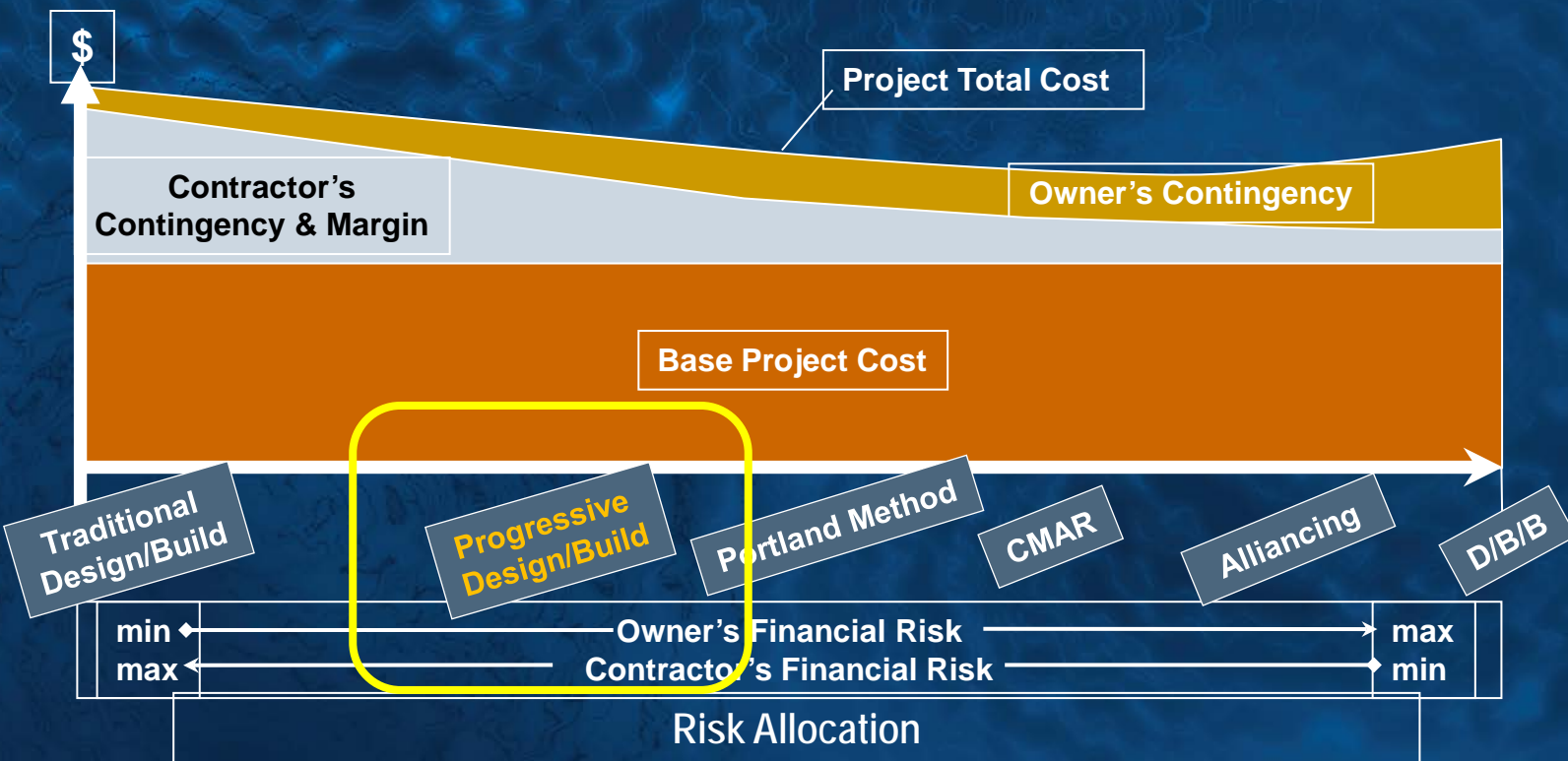


# Additional Benefits of D/B

- Single entity responsible for design, construction, technology integration and project delivery performance
- Early cost certainty
- Efficient administration for Owner
- Fewer potential disputes and change orders

# 3. Progressive Design/Build

- Spectrum of options
- Spectrum of Owner and Contractor Risk Allocation (i.e. Who holds the contingency?)
- Risk extremes are "D/B" and "D-B-B"
- Owner chooses optimal cost/risk/control allocation





# 3. Progressive Design/Build

## *Work is Performed in a 2-Step Process*

- *Step 1 – 30% Design & GMP*
- *Step 2 – Final Design and Construction*

## *Selecting On-Call DB Teams*

- Qualification Based Shortlisting (3 to 5 Designer/ Contractor DB Teams)
- Shortlisted firms submit proposal for Step 1 (30% Design and GMP Development) Services
- Selection of Step 1 DB Team





# 3. Progressive Design/Build

## *Proposal for Step 1 - 30% Design & GMP*

- Shortlisted DB Teams receive RFP
- DB Team Approach is fully presented
  - Technical Approach
  - Permitting process approach
  - Identify additional studies/geotechnical studies
  - Identify public outreach requirements
- Strong inducement for cost saving innovations and approach





# 3. Progressive Design/Build

## Step 1 – 30% Design and Development of Guaranteed Maximum Price (GMP)

- DB Team develops 30% design, GMP, and schedule in full collaboration with Owner
- Owner has greater involvement in Design and GMP development

## Step 2 – Final Design and Construction

- Design is developed for construction
- Public outreach program is implemented
- Agency, Environmental, and Construction permits obtained
- Designer assists in managing risks during construction
- Owner and DB Team collaboratively implement construction
- All work is conducted in **“open book”** manner





# 3. Progressive Design/Build

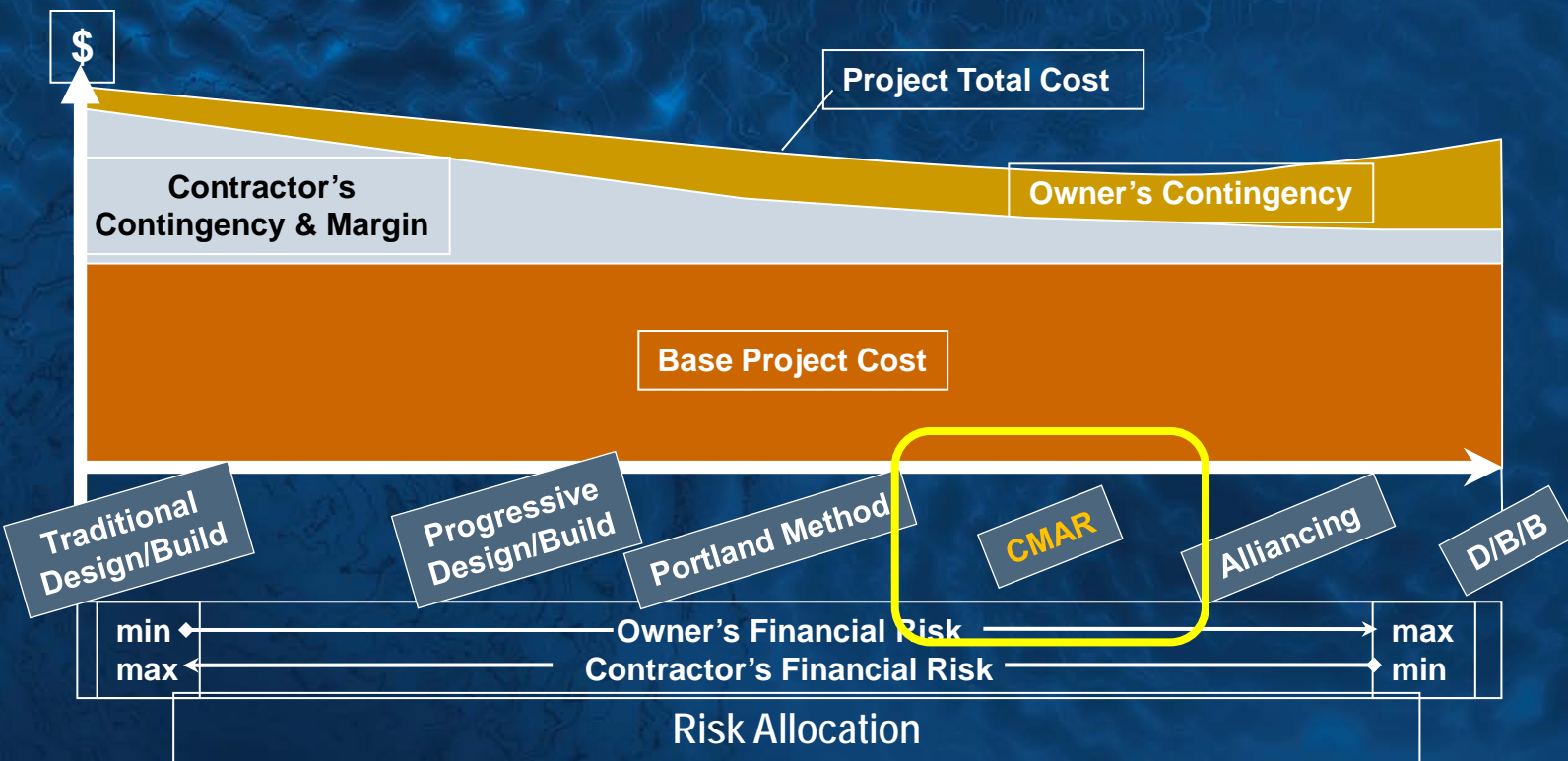
## Summary

- Owner has full participation throughout the 2 step process
- Owner can modify work based on Contractors open-book costing
- Reduced opportunity for contractor claims against owner on project risks – unforeseen conditions
- Project Delivery Schedule can be reduced
- Progressive D/B fee and contingency is typically less than traditional D/B Delivery Process



# 4. Construction Manager at Risk (CMAR)

- Spectrum of options
- Spectrum of Owner and Contractor Risk Allocation (i.e. Who holds the contingency?)
- Risk extremes are "D/B" and "D-B-B"
- Owner chooses optimal cost/risk/control allocation





## 4. Construction Manager at Risk (CMAR)

- Two separate contracts (Designer and General Contractor – CMAR)
- Selection of Designer and Construction Manager is made on qualifications basis
- Project benefits from early contractor input to design and cost and development
- Owner has full control of design
- CMAR acts as general contractor
- Guaranteed maximum price (GMP) for construction typically negotiated at 60% design





## 4. Construction Manager at Risk (CMAR)

### Typical Payment Terms In a CMAR GMP

- |                                     |     |
|-------------------------------------|-----|
| ■ CM Fixed Fee/Overhead:            | 5%  |
| ■ General Conditions:               | 10% |
| ■ Bid Contracts:                    | 50% |
| ■ Estimate for Un-bid Subcontracts: | 30% |
| ■ Padding                           | ?   |
| ■ Contingency                       | 5%  |





## 4. Construction Manager at Risk (CMAR)

### Benefits of CMAR Delivery Approach

- CM is selected based on qualifications
- CM provides very useful input on constructability and cost during design
- Subcontracts are established competitively
- Portions of work can be started before design is complete
- Work is open book

### Traditional Drawbacks:

- CMAR may require more oversight (and added cost) by the Owner or Designer
- CMAR controls jobsite documentation – difficult if claims arise against owner or designer
- Potential inability to agree on a GMP, with resulting delays



# SUMMARY

- There are a variety of Project Delivery Methods
- Selected Delivery Method(s) must be tailored to the specific needs of project
- Most appropriate project delivery method will depend on several key factors:
  - Project size, complexity and inherent risks
  - Project-specific cost and schedule constraints
  - Need to manage risk and allocate risks fairly
  - Need to minimize and facilitate conflicts among the parties quickly as they arise
  - Best align Owner's and Contractor's objectives

**Must Successfully Meet Project Objectives**

The background is a deep blue with a complex, wavy, marbled texture. A solid, medium-blue horizontal bar spans the top of the image. A vertical stripe of a lighter, more vibrant blue with a similar wavy pattern runs along the right edge.

Questions?



## **Executive Director's Report**

**Contact:** Jill Duerig, Interim ED

**Agenda Date:** November 15, 2018

**Item No. 10a**

**Subject:** Status Update

### **Summary:**

Activities since the October meeting have been focused on cash flow and continued direction to the transition team. Coordination with DWR continues through its Design Construction Oversight (DCO) team.

### **Detailed Report:**

Recent efforts included the addition of one additional DCA transition staff member, the first from DWR; Suresh Venukanthan, will be assisting the Interim Chief Engineer, Sergio Valles, in managing some of the new professional services contracts. Jay Arabshahi has also been added to Sergio's staff to assist with managing the EDM and Geotech contracts. A process for recruitment of long-term staff through inter-agency recruitments is attached. Weekly meetings for the DCA transition team are continuing. DCO-DCA coordination, including weekly executive meetings, also continue. Key coordination items in October have focused on cash flow challenges posed by the delayed reimbursement from the State Controller's Office and moving forward with temporary power acquisition which is on the project's critical path.

DWR's State Water Project Power and Risk Office (PARO) has been providing assistance to the DCA in developing and executing agreements with Sacramento Municipal Utilities District (SMUD) and Western Area Power Administration (WAPA).

SMUD will provide temporary interconnection service to enable power delivery for the Tunnel Boring Machines (TBMs) via new electrical transmission lines and equipment originating at SMUD's Franklin substation and continuing toward the northern portion of the WaterFix sites, as outlined in a Special Facilities and Interconnection Agreement (SFIA) between SMUD and DWR.

Key SMUD-related activities include:

- Work on separate agreement with SMUD to cover SMUD costs related to dynamic scheduling planning and implementation work
- Anticipate executing the SFIA in December 2018
- SMUD's first payment (by DWR) will be triggered with DWR issuing the Notice To Proceed (NTP), which could be a few months following execution of the SFIA.

WAPA will provide temporary interconnection service to enable power delivery for TBMs in the southern portion of tunneling with upgraded facilities in its Tracy substation. WAPA will also provide permanent interconnection service to enable power delivery to the Byron Tract Forebay pumping plant for operations. A future item will be brought to the board to allow the DCA to be an additional signatory to the WAPA Project Development Agreement.

Key WAPA activities include:

- Identifying alternatives to WAPA's Transmission Service Request (TSR) and assessing any additional WAPA-required studies associated with a TSR.
- Continue working with WAPA on resolving remaining issues (such as a sensitivity study results and impacts to original scope of work, cost, schedule, and construction agreement; proper submittal of TSR, including power supply characteristics and IT related issues for electronic submission; acceleration of additional Facility Study).
- Anticipate executing the final agreement in December 2018 (allow future amendments to incorporate revised scope of work)
- WAPA payment (initial invoice \$2M) will be made within 30 days of execution of the agreement.

The next two solicitations, for legal support services and for Program Manager, were posted in September; the legal support services solicitation closed in mid-October and is entering the evaluation process. The Program Manager solicitation was extended to mid-November; information is available on the DCA website under a new tab entitled "Business Opportunities" ([http://www.dcdca.org/Business\\_Opportunities.htm](http://www.dcdca.org/Business_Opportunities.htm)) which links to Planet Bids, where vendors can view current solicitations and register for future solicitations. Another RFQ for power support services was issued in early November. An updated schedule of solicitations is attached, along with a summary of contracts executed to date.

Working with MWD real property staff and using the matrix developed for evaluating and short-listing sites, additional negotiations are nearly completed for the top two sites based on facility layouts that satisfy DCA needs (i.e., board room, number of conference rooms, offices and cubicles for anticipated staffing). In the meantime, transition staff are working at temporary locations provided by DWR in the Bonderson Building until a permanent facility is ready, now anticipated around May or June 2019. Transitional IT support has been providing necessary hardware and software for DCA at the Bonderson Building while providing critical input to the real property group planning for Tenant Improvements at the new facility.

**Attachments:**

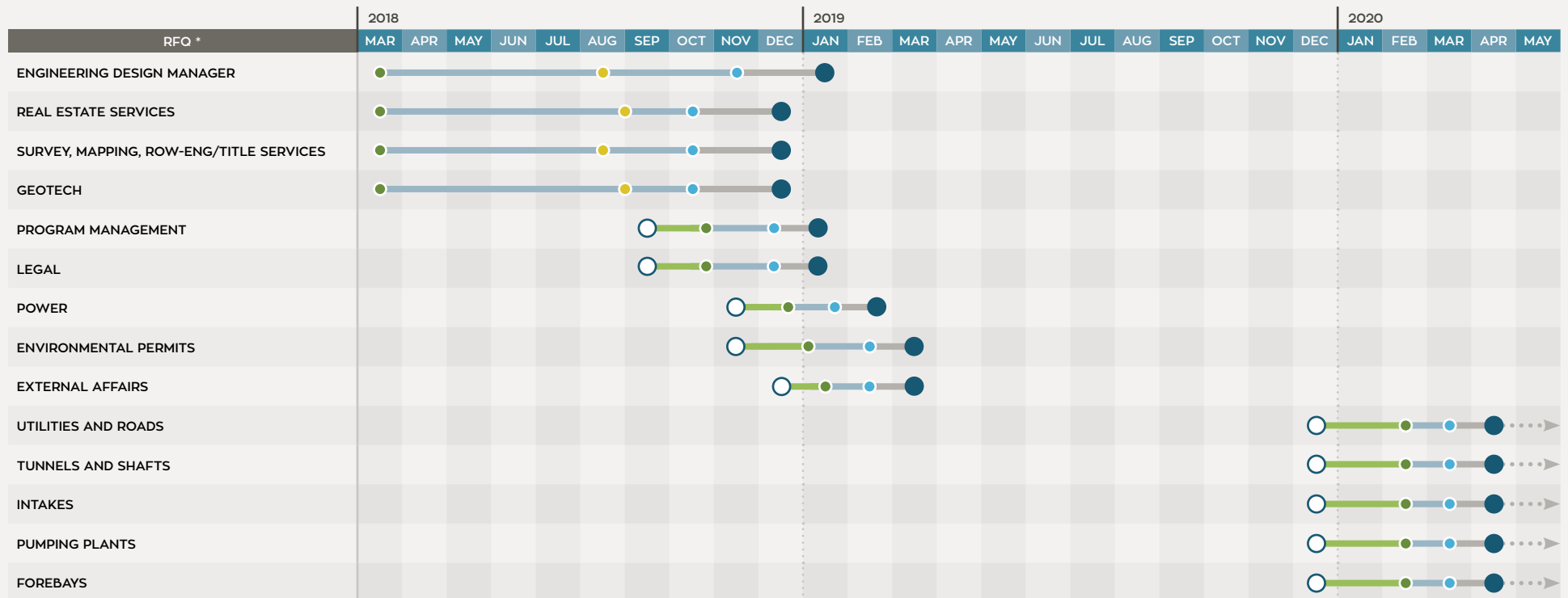
Attachment 1: Procurement Plan

Attachment 2: Summary of Contracts Executed

Attachment 3: Inter-agency Advertisement Process

# 2018-2020 PROCUREMENT PLAN

## Request For Qualifications (RFQ)



\*Not a complete list; issuance dates are subject to change.  
 Executive Director to be advertised through an Executive Search process.

○ Advertise    ■ Consultant Response Period    ● Consultant Response Due    ■ Agency Selection Period    ● Interviews    ● Board Award    ● Notice to Proceed

DCA CONTRACTS EXECUTED, To Date							
Company Name	Description	Type	Execution Date	Expiration Date	Amount	Board Authority	
						Reso No	Date
Management Partners	Interim Executive Director Services	Agreement	05/17/18	05/16/19	\$375,000.00	18-2*	19-Jul-18
Best Best & Krieger LLP	Interim General Counsel Services	Agreement	05/17/18	05/16/19	\$425,000.00	18-2*	19-Jul-18
e-Builder	Project Management Info System (PMIS)	Agreement	10/27/18	10/01/23	\$786,244.85	18-10	20-Sep-18
Metropolitan Water District	Administrative Services Agreement	Agreement	07/11/18	N/A	\$0.00	18-2*	19-Jul-18
Metropolitan Water District	Chief Engineer	Task Order	10/29/18	12/31/19	\$707,512.00	18-2*	19-Jul-18
Metropolitan Water District	Contracting	Task Order	09/20/18	12/31/19	\$369,536.40	18-2*	19-Jul-18
Metropolitan Water District	Environmental	Task Order	10/29/18	02/28/20	\$536,640.00	18-2*	19-Jul-18
Metropolitan Water District	Information Technology	Task Order	10/29/18	12/31/19	\$652,009.00	18-2*	19-Jul-18
Metropolitan Water District	Lease Facility Support/Furniture	Task Order	10/29/18	03/31/19	\$1,252,907.00	18-2*	19-Jul-18
Metropolitan Water District	Real Estate Activities	Task Order	10/29/18	12/31/19	\$278,410.00	18-2*	19-Jul-18
Metropolitan Water District	Property Acquisition Support	Task Order	11/05/18	06/30/19	\$169,543.20	18-2*	19-Jul-18
Hallmark Group	Transition Services	Agreement	08/01/18	01/31/19	\$500,000.00	18-3	19-Jul-18
Hallmark Group	Transition Services	Agmt Amendment	08/01/18	01/31/19	\$691,360.00	18-3	19-Jul-18
Sacramento Library	Board Room Rental (2/19 - 5/19)	Vendor Agreement	09/25/18	05/16/19	\$900.00	18-4	19-Jul-18
Sacramento Library	Board Room Rental (11/18 - 1/19)	Vendor Agreement	10/25/18	01/31/19	\$650.00	18-4	19-Jul-18
Department of Water Resources	Bonderson Rental (11/18 - 1/19)	Agreement	09/01/18	02/28/19	\$63,204.24	18-4	19-Jul-18
Total Executed Agreements					\$6,433,916.69		

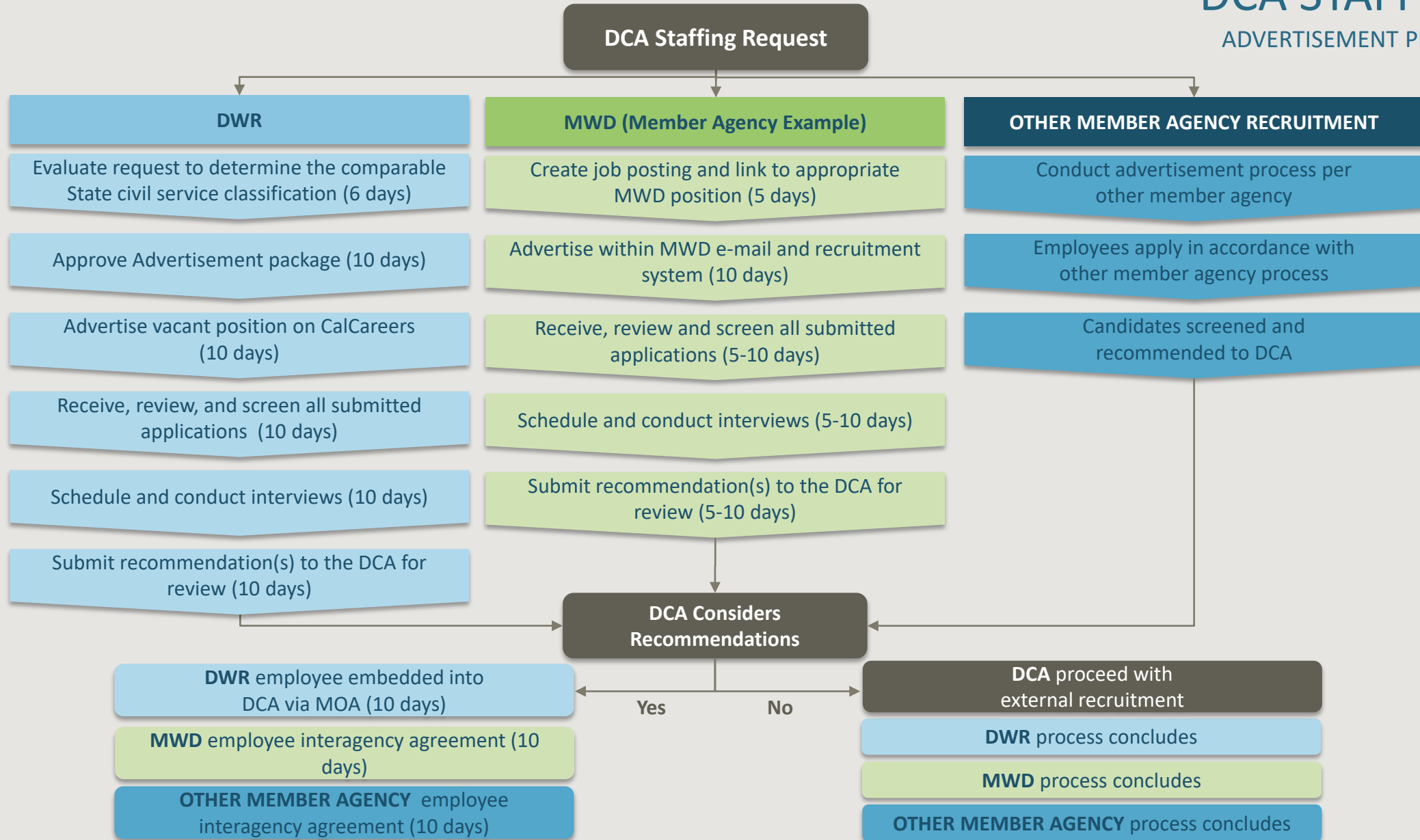
\*Note: Originally approved 5/17/18; ratified 7/19/18





# DCA STAFFING

## ADVERTISEMENT PROCESS



(All durations reflect Business Days)

## **General Counsel's Report**

**Contact:** Stefanie Morris, Interim General Counsel

**Agenda Date:** November 15, 2018

**Item No. 10b**

**Subject:** Status Update

**Summary:**

General Counsel has spent a majority of time working with staff drafting policies and procedures, and coordination with the Executive Director and the DWR Delta Conveyance Office.

**Detailed Report:**

General Counsel has continued to work with the Executive Director to develop Inter-Agency agreements and other necessary consultant contracts. General Counsel continues to coordinate with the Executive Director regarding application of the JEPA with DWR, as well as coordination with DWR. General Counsel worked with DWR legal to prepare for the Delta Stewardship Council's hearing on the appeals related to the Certification of Consistency for WaterFix. Finally, General Counsel is reviewing and monitoring new and ongoing litigation related to the California WaterFix Project to assess potential liability to the DCA.

**Recommended Action:**

Information, only.

## **Treasurer's Report**

**Contact:** June Skillman, Treasurer

**Agenda Date:** November 15, 2018

**Item No. 10c**

**Subject:** Treasurer's Monthly Report, October 2018

**Summary:**

During October 2018, receipts totaled \$1,101, consisting of interest earned on the DCA Start-up Trust cash balance in September 2018. During October 2018, disbursements totaled \$211,850. The balance in the DCA Start-up Trust at October 30, 2018 was \$505,624.

As of October 31, 2018, receivables totaled \$88,023, consisting of interest earned on the DCA Start-up Trust cash balances during October 2018 and an invoice to the DCO. As of October 31, 2018, accounts payable totaled \$350,539. As of October 31, 2018, the net position of the DCA Start-up Trust was \$243,108. Given the current levels of invoices, coordination with the DCO for payment of invoices is a critical path item.

**Detailed Report:**

See attached statements.

**Recommended Action:**

Information, only.

**Attachments:**

October 2018 DCA Start-up Trust Statement

DELTA CONVEYANCE DESIGN AND CONSTRUCTION AUTHORITY

Statement of Cash Receipts and Disbursements

Month Ended October 31, 2018

Receipts:

Interest receipts from September		\$	1,101
----------------------------------	--	----	-------

Disbursements:

Consulting services	\$	210,128	
Meeting expenses		<u>1,722</u>	<u>211,850</u>

Net change in cash			(210,749)
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Cash at October 1, 2018			<u>716,373</u>
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Cash at October 31, 2018		\$	<u><u>505,624</u></u>
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DELTA CONVEYANCE DESIGN AND CONSTRUCTION AUTHORITY

Balance Sheet

As of October 31, 2018

Assets:

Cash	\$	505,624
Accounts receivable		86,909
Interest receivable		1,114
		<hr/>
Total assets	\$	593,647
		<hr/> <hr/>

Liabilities:

Accounts payable	\$	350,539
		<hr/>
Total liabilities		350,539

Net position

		243,108
		<hr/>
Total liabilities and net position	\$	593,647
		<hr/> <hr/>

DELTA CONVEYANCE DESIGN AND CONSTRUCTION AUTHORITY

Schedule of Invoices Paid  
Month Ended October 31, 2018

<u>Vendor</u>	<u>Invoice #</u>	<u>Invoice Date</u>	<u>Payment Date</u>	<u>Period of Expense</u>	<u>Amount</u>	<u>Disbursement Category</u>
1 Management Partners	INV06305	9/5/2018	10/4/2018	8/6/18-8/30/18	\$ 12,312	Consulting services
2 The Hallmark Group	180004-01	9/11/2018	10/17/2018	8/1/18-8/31/18	197,816	Consulting services
3 Sacramento Public Library Authority	3119	9/25/2018	10/18/2018	2/19/19-5/16/19	900	Meeting expenses
4 A.N.G Audio Visual Services	15543	9/20/2018	10/26/2018	9/20/2018	822	Meeting expenses
					<u>\$ 211,850</u>	
					Consulting services	\$ 210,128
					Meeting expenses	<u>1,722</u>
						<u>\$ 211,850</u>



**DELTA CONVEYANCE DESIGN AND CONSTRUCTION AUTHORITY**

Accounts Payable Aging Schedule  
As of October 31, 2018

<b><u>Payable To:</u></b>	<b><u>1 - 30</u></b>	<b><u>31 - 60</u></b>	<b><u>61 - 90</u></b>	<b><u>&gt; 90</u></b>	<b><u>Total</u></b>
Management Partners					
Invoice # INV06459	\$ 21,500	\$ —	\$ —	\$ —	\$ 21,500
Spark Street Digital					
Invoice # 1623	3,537	—	—	—	3,537
Invoice # 1624	3,466	—	—	—	3,466
Sacramento Public Library Authority					
Invoice # 3143	650	—	—	—	650
e-Builder					
Invoice # 5850	157,726	—	—	—	157,726
A.N.G Audio Visual Services					
Invoice #15576	822	—	—	—	822
The Hallmark Group					
Invoice # 180004-02	162,837	—	—	—	162,837
	<hr/>	<hr/>	<hr/>	<hr/>	<hr/>
	\$ 350,539	\$ —	\$ —	\$ —	\$ 350,539
	<hr/>	<hr/>	<hr/>	<hr/>	<hr/>

\*Totals may not foot due to rounding.

Accounts Receivable Aging Schedule  
As of October 31, 2018

<b><u>Receivable From:</u></b>	<b><u>1 - 30</u></b>	<b><u>31 - 60</u></b>	<b><u>61 - 90</u></b>	<b><u>&gt; 90</u></b>	<b><u>Total</u></b>
Department of Water Resources					
Invoice #DCA 2018-01	\$ 86,909	\$ —	\$ —	\$ —	\$ 86,909
	<hr/>	<hr/>	<hr/>	<hr/>	<hr/>
	\$ 86,909	\$ —	\$ —	\$ —	\$ 86,909
	<hr/>	<hr/>	<hr/>	<hr/>	<hr/>