

**Arizona Department of Transportation
Infrastructure Delivery and Operations Division**

**Right of Way
Procedures Manual**



**OPERATIONS SECTION
UNIT 4946**

FHWA Certified: July 16, 2018



Infrastructure Delivery and Operations

MEMORANDUM

TO: Interested Individuals and Each Holder of the Right Way Group Procedures Manual

FROM: Paula Gibson

CC:

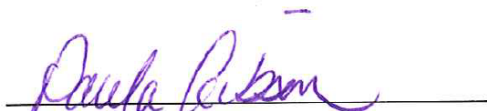
DATE: July 30, 2018

RE: Manual Update

Attached is the most recent Procedures Manual for the Arizona Department of Transportation, Right of Way Group. As you are viewing the electronic (PDF) version of the manual, hyperlinks have been added allowing you to quickly navigate to the various Sections. At the end of each Section and exhibit, you will be given further directions.

This Procedures Manual complies with Title VI of the Civil Rights Act of 1964.

Should you have any questions please contact our office directly at (602)712-7316.



Paula Gibson
Right of Way Administrator



U.S. Department
of Transportation
**Federal Highway
Administration**

ARIZONA DIVISION

4000 North Central Avenue
Suite 1500
Phoenix, Arizona 85012-3500
Phone: (602) 379-3646
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<http://www.fhwa.dot.gov/azdiv/index.htm>

July 16, 2018

In Reply Refer To:
ROWR 03
ROW Manual Approval

Paula I. Gibson
Right Of Way Administrator
Right of Way Group
Arizona Department of Transportation
205 South 17th Avenue, MD 612E
Phoenix, Arizona 85007-3212

Dear Ms. Gibson:

The Federal Highway Administration (FHWA) has received the update to the Arizona Department of Transportation's (ADOT) Right of Way (ROW) Manual. This update was required due to amended provisions published in a Final Rule on August 23, 2016. We have reviewed the updated manual and have determined that it meets the requirements of 23 CFR 710.201(c).

We appreciate the efforts of ADOT to update the manual, incorporate your comments and to consider the amended provisions in the Final Rule. With the completion of this review and update, FHWA is certifying that the Arizona Department of Transportation's Right of Way Manual is in compliance with federal regulations as of July 16, 2018. If you have any questions, please feel free to contact Alan Hansen at 602-382-8964 or alan.hansen@dot.gov.

Sincerely,


 Karla S. Petty
Division Administrator

ecc:
John Eckhardt III, ADOT ROW
Alan Hansen, FHWA AZ Division Team Leader



Infrastructure Delivery and Operations

An Arizona Management System Agency

Douglas A. Ducey, Governor
John S. Halikowski, Director
Dallas Hammit, State Engineer
Steve Boschen, Division Director

July 6, 2018

Karla Petty
Arizona Division Administrator
Federal Highway Administration
Attn: Alan Hansen, Team Lead – PEARC
400 North Central Avenue, Suite 1500
Phoenix, AZ 85007-3212

Dear Ms. Petty:

As the Right of Way Administrator of the Arizona Department of Transportation, Right of Way Group, I hereby certify to the Federal Highway Administration in accordance with CFR 710.201(C), that the current Right of Way Manual submitted is in conformance with Federal and State real estate law and regulations.

There have been no changes to State law that would cause the manual to be in conflict with the Uniform Act requirements. The manual conforms to existing ADOT practices and contains the necessary procedures that comply with the Uniform Act and federal and State real estate laws and regulations. The ROW Manual reflects the amended provisions of the 23 CFR 710 Final Rule published August 23, 2016.

Sincerely,

Paula I. Gibson
Right of Way Administrator
Right of Way Group
205 South 17th Avenue, MD 612E
Phoenix, AZ 85007-3212
602-712-8758

Title VI of the Civil Rights Act of 1964,
and the Americans with Disabilities Act (ADA)

Pursuant to Title VI of the Civil Rights Act of 1964, and the Americans with Disabilities Act (ADA), ADOT does not discriminate on the basis of race, color, national origin, age, sex or disability. Persons that require a reasonable accommodation based on language or disability should contact ADOT's ROW office at (602) 712-7316. Requests should be made as early as possible to ensure the State has an opportunity to address the accommodation.

De acuerdo con el título VI de la Ley de Derechos Civiles de 1964 y la Ley de Estadounidenses con Discapacidades (ADA por sus siglas en inglés), el Departamento de Transporte de Arizona (ADOT por sus siglas en inglés) no discrimina por raza, color, nacionalidad, edad, género o discapacidad. Personas que requieren asistencia (dentro de lo razonable) ya sea por el idioma o por discapacidad deben ponerse en contacto con 602.712.7316. Las solicitudes deben hacerse lo más pronto posible para asegurar que el equipo encargado del proyecto tenga la oportunidad de hacer los arreglos necesarios.

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Chapter 1 Organization, Responsibilities, and General Procedures

1.01 Purpose

The purpose of this chapter is to describe the organization, functions and responsibilities of the Right of Way Operations Section.

1.02 Organization

The Right of Way Operations Section, which is supervised by the Operations Section Manager under the general direction of the Deputy Right of Way Administrator for Real Estate, consists of three (3) major areas of responsibility: Accounting, Contracting and Records.

The Right of Way Operations Table of Organization ~ [Click Here](#)

The Accounting Unit is divided into a Statewide and a Regional Transportation Plan area and provides all financial support to the Right of Way Group. The Contracts Unit provides contract support to the Group for both procurement and consultant contracts. The Records Unit provides archival support for the Group's records.

1.03 Basic Responsibilities

The Operations Section is responsible for, but not necessarily limited to, the following:

- Preparing the annual Statistical Report Form on Acquisitions and Relocations for submittal to FHWA
- Preparing the annual FHWA-532 Report for Financial Management Services
- Providing oversight of the Five-Year Transportation Facilities Construction Program as it relates to the Right of Way Group
- Monitoring of all federal funds used on Right of Way projects
- Monitoring Right of Way activities on all projects
- Processing and maintaining payment and accounting documentation of all Right of Way Group expenditures
- General record keeping, inventory and requisition of equipment, supplies, and forms
- Providing oversight and administration for contracts used by the Group
- Providing contractual support to the Transportation Section of the Attorney General's Office
- Supporting the Property Management Section with managing financial aspects of their leases and procuring necessary goods and services for Department owned properties
- Providing management, control, and storage of permanent Right of Way files

1.04 General Procedures

The Accounting Unit procedures include processing and accounting for all Right of Way Group payments and receipts, preparation of the transaction report, preparation of special financial reports that may be needed by the Right of Way Group or other areas of the department, and monitoring Right of Way Federal Activities.

The Contracts Unit develops bid preparation and procedures for consultant contracts; handles negotiations between contract service providers and the Right of Way Sections and administers the consultant contract process.

The Records Unit oversees the archiving of all records for the Right of Way Group. This includes retention schedules, electronic storage and procedures.

Chapter 2 Accounting Unit

2.01 Purpose

This chapter describes the functions, responsibilities and general procedures to be followed by the Accounting Unit. The Accounting Unit is under the direct supervision of the Right of Way Operations Section Manager.

2.02 Primary Functions

The primary functions of the Accounting Unit include, but are not limited to; processing payments, accounting for all revenue and expenditures of the Group, obligating and tracking all program related items and preparing financial reports for the Right of Way Group.

2.03 Responsibilities

The general responsibilities of the Accounting Unit include, but are not limited to:

- Obligating and reconciling Five-Year Transportation Construction Program Items and Subprograms specific to the Group
- Approving and verifying funding for Parcel Control Transmittal forms
- Processing of purchase orders, requisitions, travel vouchers, inter-agency and intra-agency transfers and deposits
- Assist with monitoring the operating budget for the Right of Way Group
- Processing and maintaining payment and accounting documentation for all Right of Way Group expenditures
- Requisitioning equipment, supplies, and forms
- Preparing routine and special financial reports.

2.04 Project Obligation/Funding

Each year the Right of Way Group receives specific funding in the Five Year Transportation Facilities Construction Program. This funding is done at an item number level for specific projects and as a subprogram for mission specific activities.

For the Statewide program, item numbers are project specific and usually for those projects where Right of Way activities will exceed \$200,000.00. The following is a current listing of the subprograms allocated on a Statewide basis:

- 710XX (fill in FY) – R/W Acquisition, Appraisal & Plans & Titles Preparation
- 711XX (fill in FY) – R/W Plans and Title Prep

For the RTP program, items numbers can be either project or corridor specific. On corridors that are not to be constructed until later years, monies can be allocated as Right of Way Protection. Unlike the Statewide program, there are no contingency funds available and any parcel and project activities must be fully funded. The following is the list of RTP subprograms:

- 3660XX(fill in FY) – R/W Advance Acquisition
- 3661XX(fill in FY) – R/W Plans & Title
- 3662XX(fill in FY) – R/W Property Management

The Accounting Unit produces spreadsheets reflecting project and parcel activity to monitor project activity and ensure sufficient funding is in place. Funding allocation requests are made through the Project Review Board (PRB) meeting by the Project Manager.

2.05 Federal Funding – Preliminary Engineering

The initial request for federal funding will normally be for Preliminary Engineering (PE) activities. PE is broken down into three types, Single-Phase (typically pavement preservation), Phase I or Phase II. All PE activities are coordinated through Project Management (Right of Way Project Coordinators) to the Project Manager.

- Phase I PE activities can include; surveying, base mapping, appraisals, existing and new title reports, research, staff time, supplemental service employees and other charges up to and including the environmental document.
- Phase II Preliminary Engineering requests are used for Right of Way plans and early parcel acquisition on projects that require an Environmental Impact Statement (EIS) or Environmental Assessment (EA) or where there may be multiple alternatives.
- Single Phase PE is used for projects covered by a Categorical Exclusion (CE) environmental document subject to the following conditions: the PE work cannot have an adverse environmental impact, the PE work will not limit reasonable alternatives, and no final design work will be done until the environmental document is completed.

Acquisition and relocation activities are covered under a separate FHWA funding request that is processed through the Right of Way Project Coordinator to the Project Manager. Copies of all forms and guidelines covering Federal Aid funding are maintained by the ADOT Finance Group on their internal website, <https://adotnet.az.gov/node/1594>.

The Operations Section Accounting Unit is responsible for the tracking of Right of Way funding. When a new project is under development, the Operations Section works with the Project Coordinator to discuss specifics of the project related to timing and dollar requirements. The Accounting Unit verifies funding is in place with assistance from the Right of Way Project Management Section and the Condemnation Liaison.

NOTE: Until formal authorization is received from the FHWA, any charges incurred on a project are not eligible for Federal reimbursement.

2.06 Federal Funding – Acquisition (Protective Buying, Hardship Acquisitions, Credits, Donations, Early Acquisition)

Acquisition and relocation activities are covered under a separate FHWA funding request that is processed through the Right of Way Project Coordinator to the Project Manager.

NOTE: Until formal authorization is received from the FHWA, any charges incurred on a project are not eligible for federal reimbursement.

2.07 Payment Overview & Procedures

There are two main classifications of payments processed by the Accounting Unit. The first are program related expenditures. These include, but are not limited to; acquisition, relocation, condemnation and property management activities. The second are the day-to-day operating expenditures of the Right of Way Group. This includes, but is not limited to; operating supplies, travel vouchers, etc.

All payments for acquisition, relocation, or condemnation must be reviewed on a weekly transaction report.. The Right of Way Administrator or their designated signer approves and signs the transaction report.

All payments are made on a system generated purchase order, State of Arizona Purchasing Card, Inter-agency transfer, Travel Voucher, State of Arizona Travel Card (ghost card), or Requisition, which converts to a Purchase Order.

All payment documentation is audited to ensure accuracy, completeness, proper approvals and compliance with applicable accounting procedures.

All new vendors have the authority to enter themselves in the State of Arizona Procurement Portal (APP) system as a vendor. To assist new relocation payees that do not have access to a computer, a [State of Arizona Substitute W-9 & Vendor Authorization Form](#) (Exhibit 5.01) is required. The completed form is scanned to the Accounting Unit for review and is then entered in the Arizona Financial Information System (AFIS). This form meets the federal requirements to request a taxpayer identification number (TIN), request certain certifications and claims for exemption, as well as the State of Arizona requirements for vendor establishment. Once the vendor is set up the W-9 form is destroyed.

All payments processed through APP, the State procurement system, start out as a Requisition. For non-contracted purchases totaling less than \$10,000.00 an Off Contract Requisition is written. For goods and services covered by a State of Arizona procurement contract, an On Contract Requisition is written. Both Off Contract and on Contract Requisitions are converted to a Purchase Order after approval by the Operations Section Manager or designee and Procurement review, if required.

The State of Arizona Purchasing Card can be used in lieu of a purchase order, as long as it used according to the Departmental Guidelines, FIN-6.12 Purchasing Card.

The payment request (Transmittal Form for Acquisition or Claim Form for Relocation) and supporting documentation is scanned and attached electronically to the expenditure document in the State of Arizona AFIS system or Arizona Procurement Portal system. The electronic or hard copy documentation is held in the Right of Way Accounting unit until processing is complete. Payments are processed on warrants, which are mailed by the State General Accounting Office, or PULLED and picked up by an Accountant for special handling in presentation to the payee; or processed via EFT/ACH payment; or processed via wire transfer.

A Request To Transfer Funds form is completed for Inter-Agency transfers. The completed form and pertinent backup are saved in Operations Google drive and emailed to the ADOT General Ledger Section for processing in AFIS. Once the transfer is completed in AFIS by General Ledger, they will email a reference number to the requesting Accountant.

Parcel files are maintained by the Acquisition Agents until all documents are received, and recorded documents entered into the Right of Way Parcel Tracking System (PATS). The parcel

files are scanned, and the first of the month each parcel file processed for payment the prior month is forwarded to the Records Center. For relocation payments, the original payment documentation is scanned by the Acquisition/Relocation Unit and the scanned copy is forwarded to the Records Center to be maintained in the Relocation File.

Non-Parcel claims are scanned and saved in the incidental cost files once they are processed in AFIS.

2.08 Acquisitions

Acquisition payment activities are broken down into three distinct categories: Direct Purchase, Order of Immediate Possession and Condemnation. Each category has specific processing requirements.

DIRECT PURCHASE

This includes all payment requests on parcels acquired through purchase transactions. Appraisals, when included, are used to determine cost codes for payment processing. These payments are made on a General Accounting Encumbrance (GAE) to a General Accounting Expenditure (GAX) in the AFIS system.

ORDER OF IMMEDIATE POSSESSION

These are payments on parcels where deposits are required by Order of Immediate Possession (OIP). Each OIP is reviewed for accuracy and to determine proper authority for payment remittance. Payments are made via wire transfer using a GAE to a GAX in the AFIS system to a county Clerk of the Court to be held until released. A copy of the payment made including all backup documentation and the wire transfer form are to be scanned and emailed to the Attorney General's Office to the email addresses of the attorney on the order and their secretary.

CONDEMNATION

The filed Judgment is received from the Titles Section – Condemnation Unit. The Judgment, Stipulation, and Order of Immediate Possession are examined for completeness and accuracy. Emphasis is given to comparing the date of possession, cash bond deposit, and cash bond withdrawal. Incomplete, inaccurate, or questionable court orders are reviewed with the Titles Section - Condemnation Unit for clarification. Any disparities are addressed by the Condemnation Unit.

Interest calculations for judgments are done on a [Computation of Interest form/spreadsheet](#) (Exhibit 5.02). Sufficient time is calculated on the interest computation to allow for up to a 5 day processing cycle depending on payment method directed in the Judgment (wire, ACH or warrant)..

A copy of the payment made including all backup, the wire transfer form and Computation of Interest form are to be scanned and emailed to the Attorney General's Office to the email addresses of the attorney on the order and their secretary.

2.09 Warrants

Warrants issued by the State of Arizona are valid for six (6) months from date of issue.

If a warrant is lost prior to the expiration date, a replacement warrant can be obtained. This is done by completing a [State of Arizona Warrant Replacement Request Certification Form](#) (Exhibit 5.03). The completed form is forwarded to the Finance Group – Accounts Payable for processing through the State of Arizona General Accounting Office (GAO). If there is an issue with the warrant having been compromised, Accounts Payable is provided the Warrant information and they will request a Stop Payment thru GAO prior to completing the Replacement Request Certification form.

When a question arises as to who or how a payment was processed, a copy of the cashed warrant can be obtained. A [Warrant Copy Request Form](#) (Exhibit 5.04) is completed and emailed to the State General Accounting Office (GAO) for processing. It normally takes one (1) to two (2) business days to obtain the copy.

2.10 Recording of Instruments

Instruments to be recorded In-House are recorded through R/W Titles Section. Recordings may include: Deeds, easements, licenses, expiration of licenses, final orders of condemnation, corporate resolutions, and all other documents transferring, or supporting the transfer of a property or property rights.

2.11 Project Close-Out

Each month, Final Voucher in ADOT Financial Management Services (FMS) sends out the Monthly Closeout Draft to the R/W Operations Contract Management Coordinator. The Contract Management Coordinator sends a Project Closure form (Exhibit 5.05) to all R/W Section Managers to determine project status.

From the responses to the Closure form, determination is made of any outstanding right of way issues including: pending condemnations, incomplete contract task orders, or projects in hold status that would affect the project closure. Remaining costs are also estimated and any shortfalls are funded to the ability possible and any funds with a federal interest will be placed on Title 23 eligible projects.

Once a project is ready to close, the project is placed in “C” Closed Status by ADOT FMS, Project Accounting and the available budget is either reduced to zero or an amount identified on the Project Closure/Reprogramming Notice.

Project status can be checked in AFIS.

2.12 Expenditure Corrections / Journal Vouchers

Expenditure corrections are used to adjust or correct the distribution of expenditures or reimbursements affecting the Right of Way operating budget or Right of Way project balances. Information and backup are submitted via e-form maintained by ADOT FMS. Procedures are available on the Intranet at [IX Procedures](#).

Errors in project distribution are revealed by post-payment audit of vouchers, comparison of right of way costs with AFIS expenditure reports, and other internal control measures.

For all corrections, a copy is retained in the Accounting Unit and a copy, if appropriate, is filed in either the parcel or project file.

2.13 Bi-Weekly Electronic Time Entry (ETE)

Employee pay and timekeeping is covered by ADOT Payroll Policies [as detailed by Payroll Services](#). The respective Section Manager or Section Supervisor is responsible for reviewing and approving each Bi-Weekly ETE.

Attendance codes, pay codes, activity codes and project numbers need to be verified for accuracy as they are subject to change.

2.14 Travel

All travel is covered by the State of Arizona Accounting Manual, Section II-D and ADOT Policies and Procedures, FIN-6.02 Travel Authorization Policy and all subsets. Links to necessary forms are contained within the [ADOT Policy FIN-6.02](#). Travel Rates can be found in the [State of Arizona Accounting Manual \(SAAM\) 5095](#).

All forms are prepared by the employee and given to their supervisor for review and approval. The approved form is given to the Accounting Unit for auditing and the form is forwarded to Payroll and Travel Services for payment. All reimbursements are included as part of the employee's bi-weekly pay.

Usage of the State of Arizona Corporate Travel Card (ghost card) for out-of-state travel is coordinated through the FMS Section and requires substantial justification and numerous levels of approval.

2.15 Equipment

A listing of all current Right of Way specific purchasing contracts is maintained by Operations. Additional contract information is available in APP.

2.16 Equipment/Building Maintenance and Repair

The Accounting Unit is responsible for requesting equipment maintenance and repair on copiers and microfiche readers. The ASO or Computer Tech in R/W Administration handles all repair and maintenance requests for IT equipment, phones and cellular devices for the Group.

Requests for building maintenance shall be made either by telephone or email to facility maintenance. If a fee is required upon approval of the request, the required information will be furnished to the Facilities Management Group.

Requests for maintenance and repair of equipment such as copiers and computer equipment will be directed to the specific company holding the maintenance agreement.

2.17 Excess Land Sales

Sales of land acquired by the Right of Way Group which are determined to no longer be needed for highway purposes (excess land) are made by the Property Management Section. The Recommendation for Disposal of Real Property form 60-3311 contains a listing by project, sale number, date, item number, and parcel number of items sold during the sale. It lists total amounts received, amounts of site clearance deposit, and names and addresses of the bidders. This form is maintained by the Property Management Section and is included in their portion of the manual.

The receipts from the sale and copies of the paperwork for each parcel sold and monies for deposit are hand carried from the Property Management Section to the Accounting Unit. Copies of all paperwork, including the Excess Land Purchase Agreement and sale Memo, are given to Fixed Assets when each parcel sale is deposited.

On a quarterly basis, the Property Management Section provides to FMS a spreadsheet containing details of properties sold for the GASB report.

The total amount received for the sale is credited by project, excess land number, date, and amount. The Accounting Unit determines if the sold parcel was acquired using federal funds. If it was, the amounts are deposited in AFIS using the Project number originating the purchase of the parcel(s). If the credited project is still open, the portion of the sale attributed to the original acquisition is processed as a reduction of expenditure and not revenue. All sales are processed on deposits.

2.18 Site Clearance Deposits

The individual site clearance deposits are credited to the Cash Receipts Security/Earnest Deposit CSH Fund. A copy of the Site Deposit is held indicating parcel number, bidder's name, sale number, line item number, and amount of deposit for pending excess land sale.

When the site is not satisfactorily cleared/sold prior to forfeiture date, and an extension has not been granted, it is the responsibility of the Property Management Section to notify the Accounting Unit. Upon satisfactory sale of the site, the Property Management Section submits a memo requesting the site deposit be refunded to the unsuccessful bidders, or transfer of the successful bidder's site deposit to the fund, project and object code of the original purchase. The memo to request a refund of a Site Clearance Deposit is made through the Property Management Section to the Operations Section Manager.

2.19 Salvaged Property Accounting

When an item of property is bought as part of a right of way project, it may subsequently be removed from the right of way for use by an activity of the Infrastructure Delivery and Operations Division or other state agency. The property shall be referred to as salvaged property and retained for use by the State. The accounting for this salvaged property within the Right of Way Group will be in accordance with the following procedures:

An agency of the State desiring to obtain an item of salvaged property will prepare a written request per [ADOT Policies and Procedures, FIN-11.02](#) Control and Inventory of ADOT Property. If the original purchase of the property involved the use of Federal-Aid funds, the credit will go back to the project if it is open, or utilized on Title 23 eligible projects.

2.20 Receipts Database

The Contracts Unit is responsible for opening and processing all mail received by the Operations Section. This includes processing all checks, transfers and wire payments received. As each check is opened, it is restrictively endorsed. All checks received that day are scanned and the scanned checks listing is sent to the Procurement Technician to be entered into the Receipts Database. After all checks have been logged in the database, a [Daily Receipts Received Report](#) (Exhibit 5.06) is electronically signed by the enterer and the pdf is saved in Google Drive\Operations\Accounting\Deposits\FY XX\Receipts Received Log FY XX.

The payee, signature, numeric and alpha amounts are reviewed for validity. Each rental receipt is coded with a rental agreement number. All non-rental receipts are coded with unique data for identification.

The checks are then placed into the safe maintained by the Operations Section by either the Operations Section Manager or a member of the Accounting Unit.

2.21 Property Boss (software)

After each check is logged into the Receipts Database, it is entered into the Property Boss software. This software is used to track all receipts for rental properties, excess land sales, credits/refunds and any other miscellaneous receipts. The Contract Management Coordinator is responsible for entering all receipts into Property Boss. The rental receipts are credited for parcels leased by the Department. All non-rental receipts are entered according to the type of payment received (excess land sale, overpayment refund or miscellaneous receipt). After all receipts have been entered, a control report, [Deposits by Batch# - Fund and Tracs](#) (Exhibit 5.07) is printed. Once the report is verified, the report and a copy of each check are scanned into the system. This pdf file is saved in Google Drive\Operations\Accounting\Deposits\FY XX. This report is used by the Accounting Unit to prepare the deposit.

2.22 Deposits

The Accounting Unit prepares deposits for all monies received. The information from the Deposits by Batch# - Fund and Tracs form is used to prepare the deposits and enter the information into the Statewide accounting system (AFIS). A bank deposit slip is prepared. A bank [Deposit Bag](#) (Exhibit 5.08) is prepared per State Treasurer's Office instructions. The bank deposit bag is hand carried and delivered to the State Treasurer's Office. An email is prepared and sent to the State Treasurer's Office (agencydeposit@aztreasury.gov) with the following information: Agency, AFIS Document ID, AFIS and Bank Deposit Amount, Approximate Bank Deposit Date.

2.23 Refunds

Revenue Refunds are processed in AFIS to refund overpayments received by the Right of Way Group and for redistribution of property taxes collected for counties as an in-lieu fee of property taxes.

All refund requests are forwarded to the Accounting Unit for processing. For refunds of overpayments on rental properties, a statement showing the amount and coding of the refund is included.

The in-lieu refund of property taxes is made on an annual basis in September or October. For each county a detailed listing of the properties being paid is included. The listing must have an assessor's number and address for each parcel.

2.24 Reports

On a weekly basis a Transaction Report is prepared listing all payments generated for Acquisition, Relocation and Condemnation. On a monthly basis, revenue and expenditure reports are run using InfoAdv in AFIS and Property Boss. These reports are used for 1) balancing of monthly activity, 2) reviewing document coding and project number usage, and 3) preparation of financial reports. These reports include:

FINANCIAL REPORTS:

Weekly Transaction Report

RTP/MAG/STATEWIDE Expenditure Reports

Property Boss Rental Reports – Privilege Tax, Security Deposit, Site Deposit, & Highway Properties Fund

Other types of reports are commonly run on an as-needed basis, including but not limited to: project charge information, payments by parcel number, fiscal YTD payments, and payments by sub-object code description.

Chapter 3 Contracts Unit

3.01 Purpose

This chapter describes the functions, responsibilities and general procedures to be followed by the Contracts Unit. The Contracts Unit is under the direct supervision of the Operations Section Manager.

3.02 Primary Functions

The primary function of the Contracts Unit is to provide oversight and administration for contracts used by the Right of Way Group. The Unit also provides contractual support to the Transportation Section of the Attorney General's Office and supports the Property Management Section by creating purchase orders for services procured for properties owned by the Department and managing all financial information related to leases.

3.03 Responsibilities

The general responsibilities of the Contracts Unit include, but are not limited to:

- Act as a liaison between the Right of Way Group and contractors, ADOT Procurement, and Engineering Consultants Section.

- Provide contract administration for appraisal/review appraisal services, title services, plans services, acquisition and relocation services, hearing officers, demolition, asbestos abatement and property management.
- Assist in the preparation and processing of requests to contract for new services, rebid existing contracts or extend current contracts.
- Monitor contracts for expiration dates and monitor work assignments for due dates.
- Obtain quotes for various work assignments authorized under contracts awarded by Procurement and Engineering Consultants Section.
- Issue purchase orders for services authorized under contracts awarded by Procurement. Verify federal funding is used correctly on all contracts.
- Review all Task Orders issued through Engineering Consultant Section contracts for contract compliance.
- Review invoices for compliance with contracted rates and process for payment upon appropriate approval.
- Prepare and submit reports relative to contracts.
- Maintain file of contracts, work assignments, and related documentation.
- Prepare and process expert witnesses letter contracts, appraisal updates or other supporting requirements requested by the Attorney General's office for condemnation proceedings.
- Provide guidance in obtaining property management services currently not under contract.
- Maintain the property management software (Property Boss).
- Receive tenant checks for ADOT rental properties and R/W land sales, and log in Checks database and Property Boss.

3.04 Requests for Contracted Services

Requests for Professional or Special Service Contracts for the Right of Way Group must be submitted to ADOT Procurement or Engineering Consultants Section, as applicable, through the Contracts Unit. The request must be approved by the Right of Way Administrator or their authorized designee.

All requests must contain the following information:

- A Scope of Work, which includes a clear and complete description of performance objectives and specific deliverables to be provided within desired time frames.
- Estimated cost and verification of available funds.

- Identification of the ADOT Right of Way Requestor (Contract Monitor).
- Identification of any special concerns, such as critical deadlines, potential liabilities, security requirements, sensitivity of subject matter, etc.

The Contracts Unit coordinates the review of draft solicitations by appropriate Right of Way staff and forwards to Procurement or Engineering Consultants Section, as applicable.

The Contracts Unit coordinates the timing of the solicitation, recommends review panel members, and provides any general information or assistance that may be required by Procurement or Engineering Consultants Section.

The Contracts Unit receives electronic copies of the completed contracts and archives them in the appropriate Google drive folder.

3.05 Requests for Work Assignment Bids

Procurement Contracts

1. Upon request from a Right of Way Section, the Contracts Unit requests and obtains bids from contractors from a specified on-call contract pool.
2. When the bids are received, the Contracts Unit reviews and forwards a summary to the Right of Way Requestor showing the contractor's name, amount of bid for each parcel with a total if more than one parcel, and the time required to complete the work.
3. The RW Requestor makes a determination and the Contracts Unit issues the applicable ordering document.
4. When the work is completed, an invoice is received. Contracts Unit verifies the work was done, reviews the invoice for accuracy and sends to Accounts Payable for payment.

Engineering Consultant Section Contracts

1. The RW Project Monitor sends a scope of work with a request for a cost proposal to a consultant in their on-call contract pool. Assignments are based on the needs of the Group and in accordance with the terms of the contract.
2. When the cost proposal is received from the consultant, the Contracts Unit reviews all submitted documents for accuracy and contract compliance, sends to the R/W Contract Monitor, Operations Manager and the Right of Way Administrator for approval and forwards the final paperwork to Engineering Consultants Section for processing.
3. Engineering Consultants Section processes the paperwork as a contract modification and forwards the executed contract modification to the Contracts Unit when it is finalized.
4. Consultants send payment reports monthly. Contracts Unit reviews the payment report for accuracy, obtains management approval and forwards the payment report to Engineering Consultants Section for processing.

3.06 Work Assignment Monitoring

All work assignments are monitored by the Contracts Unit for completion. Any requests for deadline extensions are granted or denied based on established criteria. Liquidated damages (for Appraisals) for untimely submittal are assessed by the Contracts Unit in accordance with the procurement contract.

3.07 Attorney General's Office Request for Services

When the Attorney General's Office determines that it is necessary to use the services of a consultant, the following procedures apply:

1. The Attorney General's Office coordinates with the Right of Way Condemnation Liaison. Upon the approval of the Condemnation Liaison, the request is forwarded to the Contracts Unit for processing.
2. The Attorney General's Office, ADOT Appraisers or Contracts Unit obtains the services of appraisers and expert witnesses, and furnishes the information required on the applicable [Request for Misc Condemnation Services Form](#) (Exhibit 5.09). Expert witness consultants may be requested without a bidding process.
 - a. If the Appraiser or Expert Witness has a current contract through Procurement, their services are utilized through that contract. If not, a Letter Contract is written.
 - b. If work is to be assigned to a contracted appraiser, the Contracts Unit obtains a bid to be approved by the R/W Condemnation Liaison prior to issuing the applicable ordering document.
 - c. If work is to be performed by firms that do not have a current Procurement contract for those services, the Attorney General's Office and/or the R/W Condemnation Liaison provides the Contracts Unit with a fee schedule to be incorporated in the Letter Contract.
3. The Attorney General's Office shall forward a written notice of any change to the Contracts Unit in order that an amendment can be prepared.
4. All invoices are reviewed for accuracy and processed for payment by the Accounting Unit.

3.08 Property Management Support

The Contracts Unit receives and logs all checks for Lease payments and land sales into the checks database. This includes entering new leases into Property Boss, coordinating with Leasing Agents when Leases are terminated, processing paperwork to release Security Deposits and payments back to Tenants and any other updates to Property Boss as needed.

Chapter 4 Records Unit

4.01 Purpose

This chapter describes the functions, responsibilities and general procedures to be followed by the Records Unit. The Records Unit is under the direct supervision of the Operations Section Manager.

4.02 Primary Functions

The Records Center's primary function is to effectively manage and preserve all Right of Way records and files, ensuring information is provided to management and the public in a timely and orderly manner.

4.03 Responsibilities

The Records Center is responsible for the design of systems and equipment needed for control, collection, processing, filing, maintenance, storage, retrieval, safeguard, and disposition of all Right of Way Records. Additional responsibilities include keeping Right of Way management informed of the records activities and programs, and providing assistance and/or training for other departmental employees who need access to records. The Records Center annually reviews filing procedures and classifications, retention and disposition schedules, staff and equipment needs for records management effectiveness, and makes changes or modifications where necessary.

4.04 Scope of the Records Center

In accordance with ARS 41-151.14(A) (1), the ADOT Right of Way Group has created a Records Center to "establish and maintain an active, continuing program for the economical and efficient management of the public records of the agency." The purpose of a centralized records area is to minimize overhead expenses and reduce the need for more records storage space and office space as well as provide management with an efficient means of records maintenance, use, and protection. The Records Center serves as regulator and coordinator between Right of Way Management and all Right of Way Sections as well as other divisions of ADOT and the Federal Highway Administration. Its aim is to relieve Right of Way Management of certain administrative tasks and at the same time provide an effective means of keeping all Sections in the Right of Way Group informed of the latest records management policies and procedures. The Operations Manager manages the records management program and serves as coordinator and liaison for the agency with the state library [ARS 41-151.14(A)(6)(b)].

The scope of records specific to the routine operations of the Records Center is set out in the Records Retention and Disposition Schedule for Right of Way on file with the Records Management Division of Arizona State Library, Archives and Public Records (ASLAPR). Records Center records include, but are not limited to: legal instruments such as court documents, deeds, easements, agreements, contracts, title policies, leases, correspondence, vouchers, resolutions, approved appraisals, title reports, plans, maps, photographs, tabulation sheets, and reports.

4.05 Procedures

1. File Definitions

- a. Central Record File – The official master file of a particular right of way action, transaction, or recommendation relating to acquisition of property or property rights to be utilized for transportation purposes.
- b. Acquisition Package – A temporary acquisition work package is used until the right of way transaction has been completed. Upon completion, it is combined with the “Central Record File.”
- c. Relocation Package – A temporary relocation work package is used until the right of way transaction has been completed. Upon completion, it is combined with the “Central Record File.”

2. Records Control

The ADOT Right of Way Records Center adheres to the most up-to-date versions of ADOT policies regarding records storage MGT-9.02 Records Management Retention, Destruction and Storage. Additionally, the Operations Manager, in coordination with R/W Management, follows published guidelines from the Arizona State Library, Archives, and Public Records (ASLAPR) Records Management Division and consults their representatives when necessary in the development and execution of records management duties.

Due to the large volume of records generated during the acquisition of rights of way and their vital importance to R/W Operations, it is essential the Records Center maintains strict control over all records in their custody.

- a. Records Center staff currently includes an Archivist with file review and processing responsibilities. Additional support is provided by members of other Right of Way sections and temporary staff when available.

b. Files:

- 1. Parcel Files – The Right of Way Plans Section gives each parcel file a number according to a standard format designed to convey important contextual information about the location of the parcel within one of fifteen Arizona counties. The R/W Plans Section assigns and controls parcel numbers based upon the following county name codes:

| County No. / Name | | County No. / Name | |
|-------------------|----------|-------------------|------------|
| 1 | Apache | 9 | Navajo |
| 2 | Cochise | 10 | Pima |
| 3 | Coconino | 11 | Pinal |
| 4 | Gila | 12 | Santa Cruz |
| 5 | Graham | 13 | Yavapai |
| 6 | Greenlee | 14 | Yuma |
| 7 | Maricopa | 15 | La Paz |
| 8 | Mohave | | |

2. Project Files – Project files are also labeled using a standard format designed to convey important contextual information. The Right of Way Project Management Section assigns and controls project file names according to project numbers set up by Project Accounting in ADOT Administration. General correspondence is filed in alphabetical order by subject.
3. Facility Site, Material Site, and Maintenance Camp Files – Facility Site, Material Site and Maintenance Camp files maintain a sequential numbering format with a corresponding F.S., M.S. or M.C. prefix. These files also often include the full name of the site. Some site numbers were assigned according to the engineering districts within the state, while others were assigned according to the county number code.
4. Resolution Files – Arizona Transportation Board Resolution files are labeled according to a standard numbering format which corresponds to the year (and since 1974 the month) during which the resolution was created. After the year and date prefixes, the resolutions are identified by functional area (A = Highways, B = Aeronautics, C = Scenic and P = Board and Commissions Minutes Page) and numbered sequentially. For example, 91-10-A-74 follows the typical resolution numbering format—this resolution was created in October of 1991. It was a resolution for Highways and was the 74th resolution created that year.
5. File Anatomy — Files contain legal documents (i.e. deeds, permits, agreements, etc.) and other principle elements for parcel acquisition (i.e. contact reports, title reports, appraisals, etc.). There may also be general correspondence and other supplemental materials arranged in chronological order with the most recent documents at the top.

Recent parcel files (since fiscal 2014) typically have a File Close-Out Checklist as the first document in the file. The File Close-Out Checklist provides a convenient index for the documents contained in the parcel file and also indicates the approximate order the documents are arranged from top to bottom.

6. File Review and Prepping (General) – Parcel files are scanned by the Acquisition Agent or the Archivist. The Archivist reviews all incoming material for completeness and accuracy. Files are indexed, hyperlinked, and appropriately redacted to remove PII prior to moving the electronic file into the Records Center folder by the Archivist. If any aspect of the file is missing, incorrect, or requires further clarification, the Archivist must contact the creator of the document or their supervisor to resolve. The relevant items are then arranged according to a predetermined order depending on whether the parcel was acquired through purchase or condemnation. If the parcel was purchased, the Archivist uses the File Close-Out Checklist to index the contents of the parcel file. If the parcel was acquired through condemnation, the Archivist uses the File Close-Out Checklist: Condemnation to index the contents. Sometimes a parcel file goes into condemnation before being purchased outside of court, in which case one or both checklists can be used for indexing the parcel file. Those items that do not contain any clear provenance or identification are set-aside until the proper filing place can be determined. The Archivist must be aware of all filing procedures regarding each type of record or file. When a piece of incoming correspondence is identified with both a parcel and a project number, the Archivist must make the decision as to the proper place of filing.
7. File Review and Prepping (Specific):

- a. Federal-Aid Records – All financial records, documents, correspondence, statistical records, and any other records pertinent to Federal-Aid highway projects must be retained according to Federal Highway Guidelines and Regulations.
- b. Non-Federal-Aid Records – All records pertaining to Non-Federal-Aid projects are maintained and retained exactly as the Federal-Aid records. Those records that are not project related are retained according to Arizona Revised Statutes.
- c. Permanent Records – Due to the legal and enduring nature of right of way acquisition activities, parcel file records are designated as “permanent” and preserved for long-term access in the Records Center electronic files. Once the records are scanned, the Records Center destroys the paper-based originals of most parcel file documents. One important exception involves the creation of Project Files. The original paper-based conveying instruments (e.g. deeds, easements, and other recorded documents) are identified and preserved in Project Files by Records Center staff in close coordination with Administration and other R/W sections, especially Titles. Project Files are then stored on shelves in the Records Center.
- d.
- e. Central Record File and Acquisition Transaction Package Merging:
 - 1. Acquisition Package Review – An acquisition package is finalized once the recorded documents are received from the title company. The package is then reviewed by the originating section, the Acquisition Section or the Condemnation Unit, for completeness and accuracy. The file is then electronically transferred to the Record Center.
 Upon transfer to the Records Center, the Archivist performs a final review of the acquisition package using Records Center internal procedures and a File Close-Out Checklist. Acquisition packages confirmed as complete are merged with the corresponding electronic central record file . Any acquisition packages with outstanding issues are referred back to the Acquisitions Section for review. Records Center and Acquisitions staff then work together to resolve any issues associated with an incomplete acquisition package so that it can be merged with the central record and saved in the Records Center electronic files.
 - 2. Regular Parcel Acquisition File – When the parcel acquisition process has been completed and the payment has been made to the grantor, the parcel acquisition package is transmitted to Right of Way Records Center. The package is first thoroughly reviewed and any corrections are made before it is combined with the permanent central record file. The two files are merged by first eliminating all duplications and then placing the remaining documents into a pre-determined sequence according the File Close-Out Checklist. If a file becomes too large for one folder, the contents will be divided into two or more folders with corresponding labels.
 - 3. Condemnation Acquisition File – The condemnation acquisition file is returned to the Records Center after the Final Order of Condemnation has been issued and recorded. The condemnation file is cleared of duplications with the file contents following the same order as a regular acquisition file up

to and including the acquisition contact report, which indicated the grantor's unwillingness or inability to sell to the State. The file then progresses as a condemnation file and the contents are filed according to the Condemnation Document Itemization checklist

- e. Appraisals – The Records Center keeps appraisals where applicable.
 - f. Scanned Records Indexing – The Archivist reviews the scanned records for completeness, accuracy, and representational quality. He/she uses the File Close-Out Checklist and/or the Condemnation Itemization checklist to electronically index the scanned file. This process involves using the “Link” feature under the “Advanced Tools” tab in Adobe Acrobat Professional 7.0 software. The end result is that the checklists are positioned as the first page of each PDF to create an interactive Index, which presents the contents of each parcel file as a list of clickable boxes. Users can point and click to instantly view the desired document within the parcel file, rather than manually scan through tens or hundreds of pages. Further navigational functionality is provided by using the “Bookmark” feature in Adobe Acrobat; after users navigate away from the Index by clicking on a link to a document, they can select the Bookmarks tab on the left-hand of the PDF and double-click the “Index” bookmark to return to the Index to continue searching. *Scanned parcel files with the (+) sign at the end of the parcel file number have been reviewed and indexed by the Archivist.*
9. Distribution and Retrieval –Electronic access is provided within the G: Drive at \\e980ts02\9310\. Scanned files are in a PDF format and arranged in a hierarchical file folder structure similar to the physical arrangement of files on Records Center shelves. The Records Center folder on the G: Drive has restricted access regarding who can edit or delete files, but all Right of Way employees should be able to open and access most of the scanned Records Center files. Individuals needing assistance with accessing scanned Records Center files should contact the Archivist.

The physical files for Project files, Resolutions and microfiche can be seen at the Records Center. Physical files may be reviewed at the Records Center or taken by the requestor as appropriate. To remove the file from the Records Center, a checkout system is used. An out-card the same size as the file is filled in by the requestor with the current date, requestor's name, and the file name or parcel number. The out-card is then placed on the shelf to mark where the checked-out file should be returned. In addition to the out-card, requestors must also complete the same information from the out-card onto the Parcel Checkout Log . The file then may be taken to the requestor's work area. If the requested file is being checked out by one person for another person, both names must be placed on the card and Parcel Checkout Log. Files are not to be checked out with such generalities as “manager,” “acquisition,” or “condemnation.”

When the requestor is finished with the file, it is returned to the Records Center by placing it in the wire basket on the table by the door. A Records Center staff member will then mark the date the record was returned on the Parcel Checkout Log, return the file to its proper place, remove the out-card from the shelf, and strike the requestor's name from the out-card. Items received during the period the file

was out are placed in the out-folder and filed in their proper place when the file is returned.

At the beginning of each month the Archivist audits all checked-out records using the Parcel Checkout Log and out-cards filed on the shelves. A list is made for each section in Right of Way itemizing those files that have been out for at least 30 days and notifies each file's requestor. If the person who originally checked out the file no longer has a need for it, the file may be returned at that time. If the file is still needed, the Archivist updates the Parcel Checkout Log and the out card to show that it is still in the hands of the original requestor. If a file is not in the possession of the original requestor, it is the responsibility of the requestor to locate the file for the Records Center. At that time, the Archivist will verify the file's location and create a new log entry and out-card.

4. Records Storage

Right of Way records are stored and maintained in a centrally located area. The records area is locked other than during regular business hours.

5. Record Retention

Electronic Records is the preferred format for long term preservation of permanent records. All Original conveying instruments are retained in the R/W Project Files in the Records Center in paper form after being scanned. Only records that have been completely transferred to electronic records are eligible for destruction with the exception of original conveying instruments.

Chapter 5 Exhibits

The following Exhibits are intended for reference purposes. Some of the Exhibits have been reduced in size in order to include them in this manual. Please note that forms developed by the General Accounting Office frequently undergo revisions. To ensure usage of the correct form, please visit their website <https://gao.az.gov/>. [Click Here](#) to view the Exhibits for Chapter 5.

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