

## **2.00.00.00 – ORGANIZATION AND POLICY**

# CHAPTER 2

## ORGANIZATION AND POLICY

### TABLE OF CONTENTS

<b>2.01.00.00</b>	<b>ORGANIZATION'S PURPOSE AND OVERVIEW</b>
01.00	Right of Way's Purpose
02.00	Right of Way and Land Surveys Organization
03.00	Functions
<b>2.02.00.00</b>	<b>PROJECT DEVELOPMENT</b>
01.00	Transportation Project Development Process
02.00	Caltrans Project Management
03.00	Hazardous Materials
<b>2.03.00.00</b>	<b>TRAINING AND DEVELOPMENT</b>
01.00	Philosophy
02.00	General
03.00	Responsibility
04.00	Training Standards
05.00	Employee Retention
<b>2.04.00.00</b>	<b>RIGHT OF WAY ADMINISTRATION</b>
01.00	Title VI of the Civil Rights Act of 1964 and Related Statutes
01.01	HQ Responsibilities
01.02	Region/District Responsibilities
01.03	Right of Way Quality Management
02.00	RWLS Roster
03.00	Annual Performance Reports
03.01	RWLS Division Annual Report
03.02	Uniform Act Annual Statistical Report
03.03	Stewardship and Oversight Annual Report
03.04	Title VI Accomplishments and Goals Report
03.05	Title VII Self-Assessment Element Report
04.00	Forms, Records, and File Administration
04.01	Records and File Administration
04.02	Records Retention Schedule
04.03	Forms Management

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**2.04.00.00**

05.00  
06.00

**RIGHT OF WAY ADMINISTRATION (Cont.)**

Right of Way Information Management System  
Right of Way Field Safety

**2.05.00.00**

01.00

**DELEGATION MATRICES**

Delegations

## **2.01.00.00 – ORGANIZATION'S PURPOSE AND OVERVIEW**

### **2.01.01.00      Right of Way's Purpose**

Right of Way (R/W) serves the statewide real estate needs of Caltrans by providing property rights and real property management services for the planning, development, and construction of transportation projects on time, within budget, and in support of Caltrans' purpose, mission, vision, and goals. Caltrans' current mission, vision, goals, and values may be referenced at the ["About Caltrans" page](#).

### **2.01.02.00      Right of Way and Land Surveys Organization**

Right of Way and Land Surveys (R/W & LS) maintains its headquarters (HQ) in Sacramento and a Division in each of the Department's twelve district offices. R/W regionalized three of the district offices for the purpose of workload leveling and the facilitation of project delivery: Districts 1, 2, and 3 comprise the Northern Region. A District Director controls operations within each of the twelve district offices. However, the Chief, Division of Right of Way and Land Surveys (Division Chief) in HQ administers the statewide R/W & LS program and directs statewide R/W policies and administration through Region/District Right of Way Managers and HQ's R/W & LS Office Chiefs.

The organizational structure for the Land Surveys function within R/W & LS can be found in Chapter 1 of the [Surveys Manual](#) and Chapter 6 of this Manual (R/W Engineering).

R/W & LS consists of a highly skilled professional staff of R/W Agents, Land Surveyors, administrators, and others who play a vital role in contributing to the Caltrans mission by delivering right of way products for transportation projects and managing other real estate assets related to those projects. R/W Agents and Land Surveyors are the public face of Caltrans, since they are among the first Caltrans representatives to meet members of the public affected by transportation projects. As a result, R/W & LS staff must abide by a stringent Code of Ethics (found at the beginning of this Manual).

## **2.01.03.00      Functions**

R/W administers the statewide program with primary responsibilities within office functions to:

- Appraise and purchase property rights required for transportation purposes; effect the orderly relocation of displaced people, personality, businesses, and utility facilities; and clear properties prior to construction as part of project delivery.
- Comprehensively manage the Department's real property and dispose of property no longer needed for transportation operational purposes.
- Monitor R/W activities on federally assisted local facilities.
- Maintain a stewardship role in the expenditure of federal funds.
- Ensure local agency compliance with state and federal requirements when local funds are used for projects on the State Highway System.

More information on major R/W functions is provided in the following pages.

## MAJOR R/W FUNCTIONAL AREAS

<u>Function</u>	<u>Synopsis</u>
Planning and Management	Develop, manage, and report on R/W's state, federal, and local capital resources for projects on the State Highway System.
Project Coordination	Oversee R/W data systems, coordinate and monitor project schedules, provide workplan support and delivery, along with related administrative activities.
Estimating	Prepare, update, and review R/W estimates to forecast and facilitate programming of funds for capital outlay and support.
R/W Engineering	Prepare all maps, documents, and legal descriptions needed to acquire right of way and dispose of excess land. Prepare and update record maps of Caltrans-owned property.
Appraisals	Prepare documentation required to establish the basis for just compensation to acquire right of way, lease airspace rights, and dispose of excess land.
Acquisitions	Conduct all activities necessary to acquire property rights to construct and maintain the transportation system. Initiate and follow the condemnation process if and when negotiations have reached an impasse.
Certification	Coordinate Right of Way Certification prior to construction.
Relocation Assistance	Provide full implementation of the Uniform Relocation Assistance and Real Property Acquisition Policies Act in the relocation, advisory assistance, and reimbursement of displaced persons and businesses.

## MAJOR R/W FUNCTIONAL AREAS (Continued)

<u>Function</u>	<u>Synopsis</u>
Property Management	Manage all Caltrans-owned properties held for future transportation projects, employee housing, and excess land sales. Responsible for demolition and clearance of right of way for construction, and locating and leasing space for construction Resident Engineer offices, as needed. Responsible for Storm Water program.
Utility Relocations	Conduct all activities necessary to oversee regulatory compliance, early identification, avoidance, accommodation, or relocation of utility facilities that would be in conflict with planned construction or subsequent operation of the transportation facility.
Airspace	Lease and manage various types of Caltrans-owned and operated right of way and/or facilities that are used to support the transportation system, but that safely accommodate a secondary use.
Excess Land	Dispose of all properties declared as excess to Caltrans' transportation projects or operational needs. This can include fee owned land, easements, materials sources, disposal sites, maintenance station properties, or any other property owned by Caltrans. Oversee and support the Real Property Retention Review process.
Asset Management	Oversee project development of operational facility projects. Promote and pursue opportunities to optimize use of Caltrans' real property assets. Administer Caltrans' Lands and Buildings database, the Asset Management Inventory (AMI).

## MAJOR R/W FUNCTIONAL AREAS (Continued)

<u>Function</u>	<u>Synopsis</u>
Local Programs	Provide oversight and guidance for all R/W activities, including utility relocation, to local public agency partners for local agency projects of all funding types on the State Highway System, as well as for State and/or Federal funded local agency projects off the State Highway System.
Strategic Innovation	Develop and deliver training, work to enhance professional development, update and create all R/W publications, manage and develop information systems, coordinate examination planning and recruitment efforts, oversee Title VI activities.
Railroad Coordination	Perform early coordination and all railroad activities necessary leading to clearance of railroad involvements for transportation project delivery.

## **2.02.00.00 – PROJECT DEVELOPMENT**

### **2.02.01.00      Transportation Project Development Process**

R/W participates throughout the transportation project development process as a member of the project development team. The transportation project development process starts with initiation of feasibility studies in accordance with the [Project Development Procedures Manual \(PDPM\)](#). The process covers project report studies, community interaction, environmental studies, clearance documents, alternatives, and public hearings—all leading to completion of the plans, specifications, and estimates (PS&E phase of a project). Current Department policy requires that project reports be prepared on all transportation development and improvement projects.

As early as the feasibility study Project Initiation Document (PID) stage, and as changes occur during the project development process, R/W produces a R/W Conceptual Cost Estimate or Data Sheet that contain R/W's estimated capital outlay, support workplan, and schedule requirements for the project. Upon obtaining the Project Approval and Environmental Document (PA&ED), R/W performs regular R/W activities to acquire and clear right of way required for the project. R/W's major deliverable is the R/W Certification, a statement of the level of readiness for construction required as part of the PS&E package. Upon completion of the PS&E, the project is Ready to List (RTL) the contract for project construction for advertisement, award, and completion of construction. The process ends with Construction Contract Acceptance (CCA) and project closeout of contractual and financial obligations.

### **2.02.02.00      Caltrans Project Management**

The Division of Project Management oversees Caltrans project delivery activities. Project Management emphasizes planning, monitoring, and managing project delivery activities and resources through task management to deliver the right project, at the right time, within budget, and with the quality promised. Project Management emphasizes communication in a team-based environment. The project manager, functional managers, project management support personnel, and region/district managers work together with any local partners to deliver the project. As part of this effort, Caltrans has developed a [Project Management Manual](#) (internal Caltrans link) that sets forth the policies, goals, organizational structure, and roles and responsibilities of the project management organization. R/W participates as

an active member of the project development team, generally as a functional team member and now in the evolving task manager role.

To support the Department's Project Management program, Region/District Divisions of R/W have created R/W Project Coordinator positions. R/W Project Coordinators act as points of contact to coordinate the exchange of information, respond to customer needs and enhance communication among divisions and offices in the Department, thereby aiding in project delivery on time and within the estimated cost.

## **2.02.03.00      Hazardous Materials**

Caltrans' policy in the development of transportation projects is to fully consider all aspects of potential hazardous materials sites. Contaminated property is acquired only after adequate prior investigation and proper contractual and valuation safeguards are incorporated into the property acquisition process. The property owner shall complete remediation of contamination, if possible, prior to the Department's acquisition of the property. Where cleanup by the owner prior to acquisition is not possible, [Project Delivery Directive PD-02 "Contaminated Property Acquisition"](#) outlines exception procedures.

See Manual Section 7.04.12 for R/W's role in this phase of project development and valuation considerations relating to contaminated properties. In addition, procedures specific to each R/W functional unit are found in the hazardous materials sections in most chapters of the R/W Manual.

## **2.03.00.00 – TRAINING AND DEVELOPMENT**

### **2.03.01.00      Philosophy**

R/W & LS is committed to developing and maintaining a highly qualified and motivated workforce that is representative of California's diverse population. Inherent in this commitment is the belief that a well-trained and motivated workforce will improve efficiency, reduce costs, and offer an increased level of service to our customers.

### **2.03.02.00      General**

Employees in R/W possess distinct and specialized skills. Additionally, all employees are expected to have basic computer literacy, good communication and interpersonal skills, as well as familiarity with the range of functions within R/W.

Both formal and informal training is required for all employees. Formal training is offered in accordance with Caltrans' policies and falls into the following categories: mandated, job-required, job-related, personal development, upward mobility, and career-related. The formal training outlined in this section does not include mandated State and Caltrans training courses required of all employees. Informal training refers to on-the-job training and is an essential element in our philosophy of developing well-trained employees.

### **2.03.03.00      Responsibility**

All R/W employees share responsibility for developing and maintaining a well-trained workforce. (See below.)

- **HQ Project Delivery Professional Development Managers** are responsible for coordinating, scheduling, funding, and monitoring statewide training courses, as well as developing new courses and training instructors.
- **HQ Managers** are responsible for planning training needs for HQ employees, identifying and prioritizing functional training needs statewide, identifying and providing personnel to be trained and used as instructors, and serving as subject matter experts to develop new courses.

- **Region/District Managers** are responsible for planning the training needs of region/district employees; maintaining training records; tracking, requesting and optimizing local funding for training; and identifying and providing personnel to be trained and used as instructors.
- **First-Line Supervisors** are the primary managers and providers of training in their role as mentors. They also are responsible for annual staff evaluations, reviewing and updating the employee's training history, assessing the employee's training needs, and completing probationary reports for new and promoted employees.
- **Employees** are ultimately responsible for their own personal and professional development. This includes assuming personal and fiscal responsibilities for developing skills and abilities. They are responsible for identifying training needs to be included in their IDPs; for fully participating in assigned training; for seeking training opportunities to improve job performance and self-development (including performing on task forces, seeking developmental assignments outside of the Division, serving on exam panels, serving as instructors, taking short-term assignments in other regions/districts); for developing mentor and lead person skills to assist in training others; and for maintaining a current, personal training history.

Attainment of professional designations from associations such as the International Right of Way Association (IRWA), Appraisal Institute (AI), or any internally sponsored professional certification can be beneficial to all R/W staff. The Division also has a [Right of Way Agent Certificate program](#) (internal Caltrans link) which is available to all R/W Agents. While it is the employee's prerogative to attain such designations, R/W will support this endeavor to the degree that it benefits Caltrans.

## **2.03.04.00      Training Standards**

Training standards are structured to give all employees basic knowledge of R/W operations and to provide the skills necessary for optimum job performance. Each region/district must ultimately assess its own needs, its available resources, and the personnel involved when determining employees' training.

A general orientation process is an important step in training employees new to R/W. ["The Supervisor's New Employee Orientation Checklist" \(PM-0943\)](#) (internal Caltrans link) and the ["Orientation to Right of Way & Land Surveys Checklist" \(02-EX-01\)](#) are guides for the first-line supervisor to follow to ensure that all employees become familiar with Caltrans in general and R/W in particular. New employees should also review the Right of Way Agent Field Safety Guide at the [RW Publications page](#) (internal Caltrans link).

## **2.03.05.00      Employee Retention**

R/W & LS is committed to strategic planning for effective recruitment to fill vacancies as well as long-term retention of experienced employees. Staff turnover adversely impacts production while a position is vacant and also during the natural transition from a new, untrained employee to being experienced with the necessary knowledge and skills for optimal productivity.

In an effort to determine causes of turnover and develop strategies to improve employee recruitment and retention in R/W, supervisors are responsible for providing the employees with the ["Confidential RW Exit Interview Questionnaire" \(RW 02-03\)](#) (internal Caltrans link) for completion, along with an envelope addressed to HQ R/W when given notice of an employee's intention to leave R/W. The employee also may provide a copy of the completed form to their supervisor or other local R/W management for information.

## 2.04.00.00 – RIGHT OF WAY ADMINISTRATION

### 2.04.01.00      Title VI of the Civil Rights Act of 1964 and Related Statutes

[Caltrans Director's Policy 28 "Title VI of the Civil Rights Act of 1964 and Related Statutes"](#) (internal Caltrans link) states that Caltrans shall provide equal opportunity and full access to its programs, services, and information to all persons without regard to race, color, national origin, sex, disability, age, or income status. RWLS assures that all services and benefits to be derived from any right of way activity will be administered in accordance with this policy, and as required in Title VI and related statutes, including but not limited to the following:

**Title VI of the Civil Rights Act of 1964**, [42 U.S.C. 2000d](#), provides that:

*"No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance."* (PROHIBITS DISCRIMINATION IN IMPACTS, SERVICES, AND BENEFITS OF, ACCESS TO, PARTICIPATION IN, AND TREATMENT UNDER A FEDERAL-AID RECIPIENT'S PROGRAMS OR ACTIVITIES.)

**The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970**, [42 U.S.C. 4601-4655](#), provides:

*"...a uniform policy for the fair and equitable treatment of persons displaced as a direct result of programs or projects undertaken by a Federal agency or with Federal financial assistance."* (PROVIDES FOR FAIR TREATMENT OF PERSONS DISPLACED BY FEDERAL AND FEDERAL-AID PROGRAMS AND PROJECTS.)

**The Uniform Relocation Act Amendments of 1987**, [Public Law 100-17](#), provides:

*"...for fair, uniform, and equitable treatment of all affected persons; ... (and) minimizing the adverse impact of displacement... (to maintain) ... the economic and social well-being of communities; ... by establishing a lead agency and allowing for State certification and implementation."* (UPDATED THE 1970 ACT AND CLARIFIED THE INTENT OF CONGRESS IN PROGRAMS AND PROJECTS WHICH CAUSE DISPLACEMENT.)

**Title VIII of the 1968 Civil Rights Act**, [42 U.S.C. 3601-3619](#), provides that:

*“It shall be unlawful...to refuse to sell or rent after the making of a bona fide offer, or to refuse to negotiate for the sale or rental of, or otherwise make unavailable or deny, a dwelling to any person because of race, color, religion, sex, familial status, or national origin.”* (PROHIBITS DISCRIMINATION IN THE SALE OR RENTAL OF HOUSING – U.S. Department of Housing and Urban Development [HUD] is the primary interest agency, but FHWA and States under Title VI are responsible for preventing discrimination in the function of Right of Way.)

[\*\*Presidential Executive Order 12898\*\*](#) addresses Environmental Justice regarding minority and low-income populations.

[\*\*Presidential Executive Order 13166\*\*](#) improves access to services for persons with limited English proficiency (LEP).

Caltrans is required to report its Title VI, Environmental Justice, and Limited English Proficiency compliance measures annually in the “Title VI Accomplishments and Goals Report. Refer to Sec. 2.04.03.04, Title VI Accomplishments and Goals Report.

For more information on Title VI of the Civil Rights Act of 1964 and related statutes, refer to [RW 02-EX-03](#) or the [Caltrans Title VI Program](#).

## **2.04.01.01 HQ Responsibilities**

The Division will designate a Title VI Program Area Advisor (PAA) whose primary responsibilities are to:

- Refer all Title VI discrimination complaints to Caltrans Office of Civil Rights (OCR) Title VI Program Branch. The Division will follow the [Title VI Program](#).
- Ensure Title VI requirements are included in policy directives, contracts, and program manuals, and that the procedures used have built-in safeguards to prevent discrimination.
- Advise Caltrans’ Title VI Coordinator in HQ OCR.
- Serve as liaison between the RW Title VI Liaisons in the Regions/Districts and the Caltrans Title VI Coordinator in HQ OCR.

- Ensure the collection and analysis of the ["Right of Way Title VI Survey" \(RW 02-01\)](#) is done by the Region/District RW Title VI Liaisons.
- Ensure evaluation of Region/District RW performance for compliance with Title VI laws and regulations, delivery of the Title VI survey, and maintenance of Title VI records.
- Assist the Caltrans Title VI Coordinator in HQ OCR in coordinating and conducting compliance reviews of HQ RWLS.
- Review and recommend needed changes in policy.
- Provide the Caltrans Title VI Coordinator in HQ OCR with an annual report of the HQ RWLS' Title VI-related accomplishments and goals for inclusion in the Title VI Annual Report to FHWA.
- Provide information related to right of way activities in languages other than English.

## **2.04.01.02      Region/District Responsibilities**

Each Region/District Chief for RW shall appoint a Region/District RW Title VI Liaison, who will collect and provide accurate information in a timely manner upon request.

During the first contact, each Region/District /W Agent providing services to the public must deliver to property owners, tenants, and displacees the following Title VI information:

- [Title VI brochure](#) – available in multiple languages.
- ["Title VI of the Civil Rights Act of 1964 and Related Statutes" \(02-EX-03\)](#)
- The U.S. Department of Commerce of the Census, [Language Identification Flashcard, Exhibit 02-EX-04](#), when the RW Agent needs to identify a language while conducting right of way related activities.
- ["Right of Way Title VI Survey" \(RW 02-01\)](#)
- OCR's ["Title VI and Other Discrimination Complaint Form" \(OCR-0002\)](#)

Additionally, Agents shall document delivery of the Title VI information and the use of the Language Identification Flashcard with an appropriate diary entry.

The Region/District RW Title VI Liaison shall provide to the local District Title VI Liaison an annual report of the RW Region's/District's-related accomplishments and goals upon request. The information will be compiled and conveyed by the District's Title VI Liaison to the Caltrans Title VI Coordinator in HQ OCR for analysis and inclusion in the Title VI Annual Report to FHWA.

## **2.04.01.03 Right of Way Quality Management**

The Division incorporates quality management principles throughout its staff development, guidance, and operations, to deliver quality products and services. This Right of Way Manual covers the processes and deliverables by functional specialty, the structured review processes for deliverables and services, and the appropriate staff delegations necessary to maintain quality.

In contrast, this section is concerned with the Division's statewide program review structure: the procedures through which the program and its products and services undergo periodic reviews, function by function, functional review reporting, and management reporting for monitoring and process improvement.

Division quality management principles are explained in Exhibit 02-EX-05, RW Quality Management Policy.

Detailed program review procedures are provided in 02-EX-06, RW Quality Management Handbook.

Quality Management Reviews are reported using 02-EX-07, RW Quality Enhancement Joint Review (QEJR).

Quality Management results are summarized yearly using 02-EX-08, RW Quality Management Annual Report.

## **2.04.02.00 RWLS Roster**

The RWLS Roster Coordinator initiates, assembles, and distributes the RWLS Roster, which serves as a resource for information on personnel in RW classifications statewide. The RWLS Roster is typically published several times throughout the year and is available on the [Division's homepage](#)

(internal Caltrans link). The Roster includes information regarding classifications, hire dates, etc.

Each Region/District Division Chief for RW shall appoint a Region/District Roster Coordinator, who will provide accurate information in a timely manner upon request.

## **2.04.03.00      Annual Performance Reports**

As a Division within a State agency receiving state and Federal funding, RWLS has annual statutory and regulatory reporting requirements. These reports fulfill legislative requirements for oversight by Caltrans, the [FHWA](#), and other agencies.

Each staff member in our Division has a responsibility to uphold high standards of quality and performance in the delivery of the Right of Way and Land Surveys services. The sum total of our quality and performance as individuals and a Division is reflected in these reports and can have a direct influence on future State and Federal guidance and oversight.

The following are the most important annual reports which RWLS contributes to, or which RWLS produces independently. In each case, HQ RWLS compiles the data and prepares any accompanying narrative.

<b>NAME</b>	<b>AGENCY</b>	<b>RESPONSIBLE DIVISION (RWLS OFFICE)</b>	<b>DU<sup>E</sup> DATE</b>
RWLS Division Annual Report	Internal RWLS	RWLS	October 1
Uniform Act Annual Statistical Report	FHWA	RWLS (PMPC)	November 1
Stewardship and Oversight Report	FHWA	Risk and Strategic Management (RSM) (RWLS OSI)	December 31 (Due to RSM October 1)
Title VI Accomplishments and Goals Report	FHWA	Office of Civil Rights (OCR) (RWLS OSI)	October 1 (Due to OCR August 1)
Title VII Self-Assessment Element Report	FHWA	Equal Employment Opportunity Program (EEOP) RWLS (OSI)	October 1 (Due to EEOP January 20)
Quality Management – Quality Enhancement Joint Reviews	FHWA	RWLS (OSI) Refer to Sec. 2.04.01.03	October 1

## **2.04.03.01 RWLS Division Annual Report**

HQ RWLS prepares an Annual Report which compiles production statistics and provides an overview of RWLS activities during the preceding fiscal year. The report incorporates a Business Plan for coming years. The report is an internal document intended primarily for RWLS' use. HQ RW LS has overall responsibility for initiating, assembling, and finalizing the report. The various branches within HQ RWLS and Region/District RW are required to supply certain data upon request. Information should be provided as quickly and accurately as possible following receipt of the request.

HQ RW must maintain a well-documented file while the report is being prepared and ensure the information is available for current and future review.

## **2.04.03.02 Uniform Act Annual Statistical Report**

FHWA collects RW acquisition and relocation assistance statistics from Caltrans to compile the Uniform Act Annual Statistical Report required by [49 CFR 24.9\(c\)](#) and described in [Appendix A, Section 24.9\(c\)](#). The CFR requires the report be prepared on the basis of the Federal Fiscal Year, therefore, District/Region report data should be prepared on that basis and submitted to HQ Planning and Management (P&M) on or before November 1 each year.

The purpose of this report is to help FHWA gauge the effectiveness of the Uniform Act. Within Caltrans HQ and the Districts, P&M is the lead in compiling the report. For further guidance, refer to ["Federal Statistical Report Form" \(RW 02-04\)](#) (internal Caltrans link).

## **2.04.03.03**

## **Stewardship and Oversight Annual Report**

Through this report, Caltrans informs the [FHWA](#) of its performance measures associated with the administration of the Federal Aid Highway Program (FAHP). [FHWA](#) oversight under [23 USC 106 \(g\)](#) includes Caltrans' processes and management practices, especially responsibilities delegated under [23 USC 106 \(c\)](#).

The RWLS Division segment is in three parts: "Program Background", a brief description of its core functions, "Summary of Efforts," where RWLS reports the innovation, successes, and any noncompliance related to its core functions, and "Identify Risks," where program risks and mitigation for those risks are outlined. Wherever noncompliance is cited, it is essential to describe the measures taken to prevent recurrence and provide an updated status in the following year's report.

RWLS contribution to Caltrans' report is compiled in HQ by the Office of Strategic Innovation (OSI).

## **2.04.03.04**

## **Title VI Accomplishments and Goals Report**

Caltrans reports annually to the [FHWA](#) its efforts to fulfill the requirements of Title VI through the Title VI Accomplishments and Goals Report. This report covers the following administrative activities related to Title VI, Environmental Justice, and Limited English Proficiency: dissemination of information to the public and local agencies, training, guidance (Right of Way Manual and Policies), program delivery compliance, self-monitoring efforts, local agency oversight, and goals for the upcoming year.

RWLS' contribution to the report is compiled in HQ by the Office of Strategic Innovation (OSI).

## **2.04.03.05**

## **Title VII Self-Assessment Element Report**

Caltrans and RWLS have many agencies that verify and confirm we are in alignment with various laws and regulations that protect our employees from discrimination. The Annual Self-Assessment Element Report (AER) reflects previous Federal fiscal year accomplishments and upcoming Federal fiscal year goals by Division and is submitted to the [FHWA](#).

The report contains District and Division Title VII activities in the following areas: communications, outreach, recruitment, events, Disability Advisory Committee (DAC) participation or coordination, training delivered or attended, goals, etc.

RWLS' contribution to the report is compiled in HQ by the Office of Strategic Innovation (OSI).

## **2.04.04.00 Forms, Records, and File Administration**

HQ RWLS Office Chiefs and Region/District Division Chiefs for RW are responsible for maintaining RWLS record systems and for assuring adherence to policies and procedures set forth in the Department's Records Management and Forms Management Programs for their respective offices in coordination with their assigned Records Officers and the Forms Officers for RWLS.

### **2.04.04.01 Records and File Administration**

The Records Officers for HQ and Region/District offices manage the records program to include the following responsibilities:

- Control access to public records.
- Assure confidentiality of personal information.
- Assure application of appropriate technology to all records and file management-related activities.
- Approve requests for filing and storage equipment.
- Collect and prepare input for Annual Records Inventory, upon request.
- Consult with and advise managers in all matters pertaining to records and file management.

HQ Records Officer's additional statewide responsibilities include:

- Maintain and revise the statewide [RWLS Records Retention Schedule](#) (internal Caltrans link).
- Act as liaison between HQ and Region/District RW for matters pertaining to RW records.

## **2.04.04.02      Records Retention Schedule**

Caltrans policy states that a Records Retention Schedule Approval Request, STD. 72, shall be established for all record series under each Program's functional control and shall include records held in HQ, Region/District offices, and storage. A complete revision is required every five years, but should be updated as retention requirements change. The Records Retention Schedule is available at the [Records Retention Schedule webpage](#) (internal Caltrans link).

The HQ Records Officer shall maintain and distribute the schedule to Region/District Records Officers as changes are made.

## **2.04.04.03      Forms Management**

The Forms Officers for RWLS keep the Division in compliance with applicable laws and regulations of Caltrans' Forms Management Program to include the following responsibilities:

- Review forms for compliance with the Information Practices Act.
- Enforce provisions of the Information Practices Act to assure confidentiality of all personal information gathered.
- Prepare statewide input for the annual Information Practices Act report.
- Approve all requests to design and revise forms.
- Take advantage of opportunities for use of new technologies.

Region/District Forms Officers shall submit any issues on functionality or use of individual forms to the HQ Office Chief responsible for the related function.

The Forms Officer for HQ RWLS shall act as liaison between HQ RWLS Office Chiefs and HQ Forms Management on issues pertaining to forms management.

## **2.04.05.00      Right of Way Information Management System**

The Right of Way Management Information System (currently ROWMIS II) is the Department's sole internal standard repository and information-sharing tool for Right of Way information. As the current database of record, the use of ROWMIS II is required for statewide reporting purposes (see the [ROWMIS II Implementation Memo](#) [internal Caltrans link]).

For additional information, including new account creation and training materials, visit the [ROWMIS II web page](#) (internal Caltrans link).

## **2.04.06.00**

## **Right of Way Field Safety**

The statewide [Right of Way Field Safety Guide \(02-EX-02\)](#) provides focused guidance for the types of activities that Right of Way staff typically perform in the field.

This furthers Caltrans' first and most important Core Four Priority: Safety. Right of Way staff divide their time between office and field work. Field work occurs in a variety of situations: settings in urbanized areas dealing with properties, as well as viewing proposed acquisitions while working in the traveled way.

Office Safety is covered under Emergency Evacuation Plans, which are unique to each office. For example, the Sacramento Headquarters guidance is located at [HQ RW Emergency Plan](#) (internal Caltrans link).

The same Safety guidance applies to all staff equally. The RW Guide merely provides the subset of guidance that applies to common Right of Way Activities.

Note that Land Surveys staff are covered under Chapter 2 – Safety in the [Land Surveys Manual](#).

In addition, note that RWLS staff may be assigned tasks in an emergency as specified in the Caltrans “[Emergency Operations Plan](#)” (internal Caltrans link) issued by the Division of Maintenance. Such requests will be routed through RWLS management.

### References:

- [Director's Policy 03 – Employee Health and Safety](#) (internal Caltrans link)
- [Director's Policy 36 – Road Safety](#) (internal Caltrans link)
- [Caltrans' Safety Programs Strategic Plan](#) (internal Caltrans link)
- [Caltrans' Employee Safety Manual](#) (internal Caltrans link)
- Chapter 2 – Safety in the [Land Surveys Manual](#)

## 2.05.00.00 – DELEGATION MATRICES

### 2.05.01.00 Delegations

Pursuant to [Director's Policy #16](#) (internal Caltrans link) dated December 1, 1994, the HQ R/W & LS Division Chief issues, updates, and disseminates delegations directly to the Regions/Districts. Delegations transfer to Region/District Directors, and by separate sub-delegation order from Region/District Directors to Region/District Division Chiefs (or R/W Manager), and thereafter to the designated position.

Delegations responsibly transfer decision-making authority from Caltrans HQ Division of R/W & LS to individual Districts. These delegations are in place to ensure consistency and are based on good decisions; substantiated in quality documents and risk assessments; and developed, reviewed, and approved by appropriate technical and management authorities with appropriate justification and defendable rationale for District accountability.

These delegations provide the Regions/Districts a broad level of authority and can potentially impact both internal and external stakeholders. Delegations are provided in support of the Regions/Districts in an effort to be more efficient, transparent, and empowered at the Region/District level. At the lowest internal level, R/W staff have an expectation of good guidance and direction from management. At the higher level, Region/District Directors must have confidence that the delegated authority is wisely implemented and applied with appropriate documentation.

Delegation matrices for each function are at the end of the corresponding manual chapter. While many items are delegated at the Region/District level, several complex delegations are retained at HQ to provide statewide consistency. The delegation matrices identify specific delegations to Regions/Districts, and identify the Region/District sub-delegation level of approval required for actions within each R/W function. Each Region/District Division Chief will determine whether to delegate down to the lowest level. The Region/District R/W Division Chief must report any amendment to the level of approval authority to the appropriate HQ Office Chief.

Both the Regions/Districts and HQ will monitor quality and process requirements and ensure that the delegation responsibilities are consistently and uniformly implemented to all applicable parcels and projects. As part of the delegation transfer, HQ shall conduct periodic reviews to measure compliance with existing delegations. Action plans and objectives for measuring and monitoring the outcomes and results of the delegation

process and authorities will be included in functional Quality Enhancement Joint Reviews (QEJRs), Functional Councils and R/W Management Board (RWMB) meetings. At a minimum, performance measure results will be reported periodically via functional QEJRs and RWMB meetings.

Delegations are subject to changes in experience, staffing, etc. Both the Regions/Districts and HQ will have the opportunity to periodically review and propose amendments to the various levels of delegated authority as needed. The allowance for additional/increased approval authorities to individual Regions/Districts when warranted and mutually agreed upon can be specific to an individual parcel or an entire project.

It is the joint responsibility of the Regions/Districts and HQ to determine any necessary further definition of delegated authorities not covered in the delegation matrices contained in this Manual.

# CHAPTER 2

## ORGANIZATION AND POLICY

## TABLE OF CONTENTS

## EXHIBITS

<b><u>Exhibit No.</u></b>	<b><u>Title</u></b>
02-EX-01	Orientation to Right of Way & Land Surveys Checklist
02-EX-02	Right of Way Field Safety Guide
02-EX-03	Title VI of the Civil Rights Act of 1964 and Related Statutes
02-EX-04	Language Identification Flashcard
02-EX-05	Quality Management Policy: Compliance, Quality, Performance
02-EX-06	Right of Way Quality Management Handbook
02-EX-07	Right of Way Quality Enhancement Joint Review (QEJR)
02-EX-08	RW Quality Management Annual Report

Exhibits are located online:

- [External Exhibits site](#)
- [Internal Exhibits site](#) (internal Caltrans link)

# CHAPTER 2

## ORGANIZATION AND POLICY

## TABLE OF CONTENTS

## FORMS

<b><u>Form No.</u></b>	<b><u>Title</u></b>
DOT RW 02-01	Right of Way Title VI Survey
RW 02-02	<i>Held for Future Use</i>
RW 02-03	Confidential RW Exit Interview Questionnaire (for internal Caltrans use)
RW 02-04	Federal Statistical Report Form (for internal Caltrans use)

Forms are located online:

- [External Forms site](#)
- [Internal Forms site](#) (internal Caltrans link)