



5.9 RELOCATION RECORDS, REPORTS AND CLAIMS

This section discusses requirements for maintaining relocation records, documentation and reports, and filing relocation claims. Regional relocation files are considered the official files and should contain all the original documents. The regional RE office is responsible for the initial setup and maintenance of files. A file should be started as soon as a project has been developed and the Acquisition Stage Relocation Plan (RE2238) is written. Files should be established and maintained according to [Adm 92](#); REPM requirements; and, WisDOT Records Retention/Disposition Authorization (RDAs). Relocation assistance records should be made available at reasonable hours for inspection by the responsible representatives of WisDOT, FHWA, and the Wisconsin Department of Administration (DOA) or other persons authorized to review the files.

File contents – The READS relocation tab and log should provide all contents of a relocation file, under [Adm 92.20](#). A review of the relocation file should be completed at the regional level at the time of closure to insure file is complete, in order, and should contain:

- A written inventory of personal property for business moves.
- A written room count for purposes of residential DSS and/or schedule move.
- Certification of Legal Residency signed.
- Closing statements to support all expenses claimed.
- Completed Decent, safe and sanitary (DSS) inspection report.
- Completed DOA case report.
- Copies of all signed letters, email correspondence, WisDOT forms and/or other documents utilized throughout the relocation process.
- Date and signed letter of the 90 notice.
- Date displaced person was required to move.
- Date of vacation of subject property.
- Dates and substance of all contacts with displacee.
- Dates payments were made for all claims, and receipts or evidence of payments.
- Description and type of property.
- Estimates for moving personal property, specialized moves, and other services and reinstallations.
- For an Optional Fixed Move (In Lieu of) Payment, include how payment was computed with two years of concurrent tax returns.
- If a displaced business, any professional services provided to assist in relocating business.
- Increased interest payments should be supported by appropriate mortgages.
- Itemized claims supported by bills, invoices, and other documentation.
- Name of relocation agent providing services.
- Name(s) and address(es) of displaced persons – both subject and replacement addresses with telephone numbers.
- Other pertinent information as may be relevant and necessary.
- Pictures of any business relocation's tangible loss and substituted items.
- Pictures of subject and replacement property.
- Project ID, parcel number and unit number, if applicable.
- Provide clear documentation when an offer of assistance and services was declined or

- accepted (diary entry and letter) or from other appropriate documentation.
- Records of moving expenses (subject location to the replacement location).
- Relocation Assistance Diary (RE1043) completed in READS (with detail).
- Replacement payment computations with supporting data, and if necessary, include explanation of unusual situations.

5.9.1 Relocation Diary

The Relocation Assistance Diary (RE1043) is key to the relocation process. Entries must be produced through READS. Diary documentation must be detailed, complete with entries dated and persons identified for entries. Each diary should include:

- Dates of all correspondence with relocatee and where applicable, their representative.
- Dates of notification of availability of all relocation payments and services.
- Dates when all documents, forms, letters, etc., were delivered.
- Description and substance of contacts with all relocatees present whether by phone, email or in person.
- Description of relocatee's response to services or benefits offered.

5.9.2 READS / Reports

Using READS for relocation work is required. The RE relocation agent is responsible for maintaining and updating READS on a project and parcel basis including the payments to each displacee. DOA requires an [Individual Relocation Case Report](#) be completed when the relocatee has been relocated. This DOA form can be generated directly from READS. All completed reports must be forwarded to the BTS-RE statewide relocation facilitator, who will send it to DOA. Based on the relocation information maintained in READS, the statewide relocation facilitator will prepare and submit an annual report to FHWA.

5.9.3 Relocation Claim Payments

WisDOT shall pay a claim in a timely manner and will promptly notify a displaced person when additional information is needed to support a claim. WisDOT will not require a person to relinquish a right to future claims as a condition of payment. For a denial or partial payment of claims, see details in REPM/Section 5.1.

5.9.4 Relocation Claim Submittal Procedures

- All claims and computations must be submitted to the appropriate designated relocation agent or RE management of each region; each region will review and forward computations and claims to BTS-RE as applicable with a recommendation for approval/non-approval.
- All claims submitted to BTS-RE for payment are based on procedures in this manual; if necessary, attach a memo clearly explaining the submittal, particularly if it is a carve-out situation or other complex computation.
- All computations and claims requiring approvals at either the regional or BTS-RE level must be in READS prior to submittal.
- Approval of all claims and computations are in accordance with the Delegation Order and per the WisDOT Real Estate Delegation Table.

- Business and mixed use move claims:
 - Distinguish between and separate claims for re-establishment items from business move items.
 - Indicate what documentation and figures support amount of claim to be reimbursed.
 - Send a memo for complex and technical claims.
 - Send claim in an organized manner.
- Prior to submittal, review entire claim for:
 - Correct math.
 - Documentation that is not acceptable.
 - Documents that do not support amount claimed.
 - Missing documentation.
 - Non-executed leases.
 - Proposals only as documentation.
 - Spreadsheets not accompanied by original documentation.
 - Unsigned tax returns.
- Proposals, estimates, checks, unexecuted leases, unexecuted tax returns and unexecuted agreement are not acceptable documentation to support a claim.

If the problems with a claim are extensive, it may be returned; if not returned, it may be approved on a partial basis only. See below for required documentation.

5.9.5 Completing Claims and Documentation Required

This section explains and describes items on relocation claims and documentation is required for submittal. The relocation agent should assist the displacee in completing their portion of the claim form and indicate that necessary supporting documentation must be provided for each item to which they are filing a claim. Complete the first page of the Relocation Claim – Application and Release (RE1527) with the following:

- Claimant name
- Replacement property address
- Claimant property and mailing address, if different
- Dated received/filed

These boxes must also be checked, if applicable:

- Owner or Tenant
- Business, Farm, or Non-profit
- Residence
- Sign (check either 'Off premise' or 'On premise')
- Purchase or Rental

This information is very important in filing and classifying claims for payment by BTS-RE; claims will be delayed until all information is obtained. Missing or wrong information can cause significant delays in a payment that might be particularly important if the dollars are necessary or vitally needed by a relocatee. Generally, proposals and estimates for services are not adequate

documentation for payment of a claim, and claims will not be approved on that basis. If documentation is unclear or does not adequately address the amounts and types of items being claimed, additional information or documentation may be requested by WisDOT/Finance.

The part offers explanation for the items claimed area as numbered and listed on the Relocation Claim-Application and Release (RE1527). Here, we detail what should/should not be included and documentation necessary to support a claim (receipts and documentation must be attached to each claim). Descriptions of items claimed are:

1. Moving expenses [actual – new site] [s. 32.19\(3\)\(a\), Wis. Stats.](#) Can be used for signs, residential and business; be aware, however, different rules apply to each situation. Forward copy of personal property inventory for a business or farm and retain original in property file with receipted bills, paid statement or any other evidence of payment by the claimant. Submit a copy of each estimate or bid if necessary; however, claim cannot be released solely on this documentation.
2. Moving expenses [re-establishment] [s. 32.19\(3\)\(a\), Wis. Stats.](#) Include copies of all actual paid invoices (not estimates or proposals); originals must be in regional file. These costs cannot be paid as moving costs if paid as re-establishment. See REPM/Section 5.7 for details on eligible expenses for re-establishment.
3. Moving expenses [optional fixed residential] [s. 32.19\(3\)\(b\)1, Wis. Stats.](#) Submittal should contain a breakdown of room count, if different figure used rather than actual count, provide rationale for change. Excessive room counts must be accompanied by an explanation based on the concept of actual, reasonable and necessary and must include photographs.
4. In lieu of actual moving expenses [optional fixed move payment] [s. 32.19\(3\)\(b\)2, Wis. Stats.](#) Calculate per REPM/Section 5.4 with more details in 5.7.14. Federal Income Tax Form 1040, pages 1 and 2, plus appropriate schedule; Wisconsin income tax form not necessary.
5. Replacement housing [owner occupant] [s. 32.19\(4\)\(a\), Wis. Stats.](#) Agreement and certification located on second page claim form. Any other facts pertinent to the payment should be included. If displacee needs this payment at closing, submit two to three weeks prior to closing date. Claim form must be notarized. Copies of Offer to Purchase or Purchase Agreement and Inspection and Certification of Decent, Safe & Sanitary (DSS) Replacement Housing (RE1950).
6. Increased interest [owner occupant] [s. 32.19\(4\)\(a\)2 – \(4m\)\(a\)2, Wis. Stats.](#) Copies of both old and new mortgages indicating the balance of mortgage(s), date of mortgage, interest rate (APR), number of remaining periods. If new mortgage is not available, a letter from lender stating all of above is acceptable. Preferable method of calculating interest differential is with computer program. Hand-calculation worksheets are available if you do not have access to this computer program.
7. Closing costs and related expenses [s. 32.19\(4\)\(a\)3 – \(4m\)\(a\)3 – \(4m\)\(b\)2c, Wis. Stats.](#) All other paid bills, receipts, to cover any additional eligible expenses. HUD (lender) closing statement is necessary; vacancy notice should be in regional file after closing. If you are providing closing costs at the closing, a good faith estimate from the lender is required, along with an agreement with the owner that provides a remedy and resolution either for an over or under payment at closing. Paid as a reimbursement expense.
8. Replacement housing [tenants and certain others - rental] [s. 32.19\(4\)\(b\)1, Wis. Stats.](#) Claim form must be notarized. Copy of an executed lease stating new monthly rent rate or copy of cancelled rent check. Statement by landlord of month-to-month rental agreement and amount of rent, only if no lease. Copy of approved computation with installments listed if necessary.

9. Replacement housing [tenants and certain others - purchase] [s. 32.19\(4\)\(b\)2, Wis. Stats.](#) Claim form must be notarized. Copy of computation, statement by landlord of monthly rent or data showing approved computation amount. Offer to Purchase or Purchase Agreement. Originals of all documents must be placed in regional file. Other supporting documentation includes lenders closing statement.
10. Replacement business [farm owner] [s. 32.19\(4m\)\(a\), Wis. Stats.](#) Claim must be notarized. If business owner needs replacement payment at closing, get paperwork to BTS-RE a minimum of two to three weeks prior to closing. Lender's closing statement, if available. Offer to Purchase or Purchase Agreement.
11. Replacement business [farm tenant] [s. 32.19 \(4m\)\(b\), Wis. Stats.](#) Claim must be notarized. Copy of fully executed lease, showing all terms etc. If payment is needed at closing, get paperwork to BTS-RE a minimum of two to three weeks prior to closing. Lender's closing statement. Offer to Purchase or Purchase Agreement if purchasing necessary.
12. Incidental expenses [acquisition] [s. 32.195\(1\), Wis. Stats.](#) Copy of all paid receipts or bills. Original must be contained in regional file.
13. Penalty costs on old mortgage [s. 32.195\(2\), Wis. Stats.](#) Copy of old mortgage (current mortgage on subject site) showing penalty and statement by lender penalty is imposed. Paid statement, receipt or other evidence displacee has paid penalty, or statement to have penalty paid to both displacee and lender.
14. Prorata share of taxes [s. 32.195\(3\), Wis. Stats.](#) Copy of tax bill. This item rarely used as property taxes are prorated prior to acquisition payment by regions.
15. Realignment of personal property [same site] [s. 32.195\(4\), Wis. Stats.](#) Dates moved, time involved in self-move. Must be an actual reasonable cost. Receipted bills or paid statement. Statement of what was moved and that indicates all items have been moved prior to payment. Utilized in residential, business and sign moves.
16. Expense of plans rendered unusable [s. 32.195\(5\), Wis. Stats.](#) Copy of paid receipt, bill or invoice. Letter of explanation from claimant or designee (architect or engineering firm) indicating why plans and specifications are of no value elsewhere. Original finished drawings, specifications, and layouts must be submitted by property owner (copies will not be accepted). Plans must be specifically designed for property taken and not useable elsewhere. Regional analysis, conclusions and recommendation regarding value and utilization of plans.
17. Net rental loss [s. 32.195\(6\), Wis. Stats.](#) Limited to time when parcel appears on right of way plat, to date parcel is acquired. Loss must be attributable to highway improvement project. Rent loss must exceed normal rental or vacancy experience for similar property in area. Documentation by landlord showing actual rental amounts.
18. Cost of fencing [s. 32.195\(7\), Wis. Stats.](#) All paid receipts, bills, statements, indicating cost of materials, labor, etc. Cost of fencing acquired (may be in appraisal or administrative settlement) must be deducted from cost of new fence. Picture of before and after condition, if available. Items are limited to fencing necessary to reference right of way. See REPM/Section 5.4 for more guidance on fencing.