

# User's Guide:

## Agreement Review Transmittal System

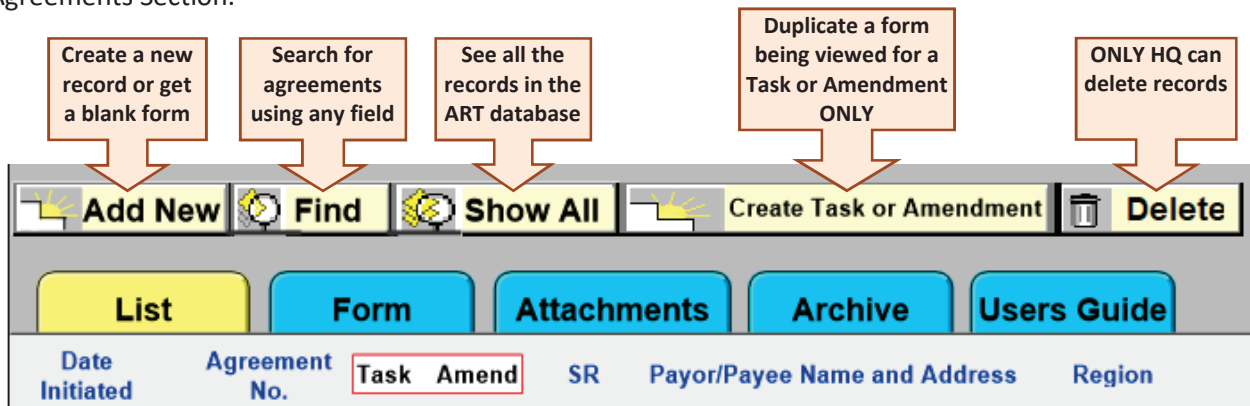
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### Creating a New Record

The numbers for various types of agreements (see [Section G](#) for a list) are generated through the Agreement Review Transmittal (ART) system. However, many agreement numbers are obtained through Region Accounting offices.

If the agreement type needed is not represented in the ART system, request the number assignment through the Region Accounting Office. (Y Agreement numbers are assigned by the WSDOT Consultant Services Office and are not entered into the ART system.)

**Note:** Access to the ART system is through a shortcut provided by the HQ Utilities, Railroad, and Agreements Section.



### Instructions

1. To **Open ART** – Double-click the shortcut.
2. Select **“Add New”** to:
  - a. Generate a new number (**do not modify system-generated numbers**) for the following agreement types: Government Agencies (GC), Maintenance (GM), Local Mitigation (LM), Rental and Lease (OP), Railroad (RR), Development Services (UC), and Utility (UT).

- b. Bring up a “blank” form to enter data for region-assigned Turnback (TB) and Haul Road/Detour (HR) agreements or an agreement that is not in the current database (for example, GCA, GM0, UTO, UCO, RRO, and Task Orders against master agreement managed by the Research Office).

This allows for creation of a Transmittal (see [ART form](#)) for TB and HR agreements or for amendments and tasks associated with existing agreements executed prior to the ART system (August 2011). The blank form allows manual entry of the data for those agreements that do not have an existing form in ART to duplicate.

3. Use “**Find**” to search or filter using any of the available fields.
4. “**Create Task or Amendment**” – When a form is needed for an amendment or a task order, generate a duplicate of the agreement form being viewed.
  - a. First, do a “Find” to see if the agreement is in the current database.
    - If it isn’t, choose “Add New.” This will activate a pop-up button box. Choose the blank form option (see 2 above).
    - If it is, continue. Duplicates can be generated in either the List (record) or Form view.
  - b. In List view, it will create a record and add it to the list just below the one duplicated. **Note:** Check the “Date Initiated” field to ensure it is the correct record before modifying that form.
  - c. In the Form view, the duplicate is the form in view. **Note:** Check the “Date initiated” field at the bottom to verify.

## Amendments and Task Numbers

### Hierarchy of Amendments and Task Numbers

1. For an Amendment to an Agreement: Fill in the boxes for the Agreement Number and the Amendment (two or more digits).

#### Agreement with an Amendment

Agreement Number BBB 1234	Task	Amendment 02	Region
Agreement Review		Form No.	HQ Ag

Amendment formatting should be two or more digits

2. For a Task under the Master Agreement: Fill in the boxes for the Agreement Number and the Task.

#### Agreement with a Task

Agreement Number BBB 1234	Task AA	Amendment	Region	Agreem
Agreement Review		Form No.	HQ Agreement Reviewer	

3. For an Amendment to a Task: Fill in the boxes for the Agreement Number, the Task, and the Amendment to that Task.

#### Agreement with a Task and an Amendment

Agreement Number BBB 1234	Task AA	Amendment 02	Region	Agreem
Agreement Review		Form No.	HQ Agreement Reviewer	



# Before You Begin: Formatting Instructions

***NOTE: It is critical to follow the prescribed formatting. Improper formatting in this database will cause Find, Search, and Report runs to fail.***

## Instructions

1. **DO NOT** insert hyphens (-) in the Agreement Number, Task, Amendment, or State Route fields.
2. When identifying state route numbers, use **numbers only**. Do not include the Interstate, US, or SR identifier in the SR field (SR is already there).
  - To list multiple routes, enter a space between the numbers (enter **no** other characters, including commas).
3. **DO NOT** use “N/A” in a field that is not applicable—**leave it blank**.
4. **DO NOT** use UPPERCASE unless it is a necessary part of a title or description.
5. The “Initiated by” field **must** contain your complete First and Last name (no initials).
  - If you regularly use two names (for example, Bob and Robert, Patty and Patricia), please use **ONLY ONE** consistently as your Initiator ID. This is critical for find, search, and report needs.

## Fields

### 1. Agreement Number

When filling out a blank form, the agreement number format needs to be: “BBB^1234” (the ^ represents a space).

- Fill in the alpha or alphanumeric identifier (BBB), followed by a space, then the four-digit number (1234).

There **MUST** be a space separator between the alpha/alphanumeric characters and the last four numeric characters. If the alpha identifier is only one letter, it still requires a space between it and the last four numeric characters.

### 2. Agreement Review Type (necessary selection)

Drop-down selections include:

- a. **Standard Form Agreement:** This type of agreement will have a FileMaker electronic form number. (If the form does not have an electronic form number, **it is NOT a standard form.**)
- b. **Nonstandard Agreement:** Any agreement that is a deviation and does not have an electronic form number.
- c. **PTD Form:** For Public Transportation Division use only.
- d. **Grant/Coop Agreement:** For Rail and Marine use only.

There are situations where the agreement type is a nonstandard agreement that has been reviewed by HQ and has follow-up tasks, and/or has been reviewed by the Attorney General’s Office (AGO) and is approved for some offices as a multiuse form.

- If your agreement is this type, call an HQ ART Database Administrator and have the HQ Reviewer field populated with “AGO approved, HQ review not required” or “GCA – HQ approved, review not required.” The Agreement Review Type must be filled in.
- If it is a “reuse” type of form that is not listed here, contact an HQ ART Database Administrator and discuss the entry of an Agreement Review option. **Note:** This is an option only for those who have AGO approval for a multiuse form.

### 3. Form Number

For standard form agreements, pick the appropriate EF form number from the drop-down menu. (If the form number is not in the drop-down menu, contact an HQ ART Database Administrator to have it included.)

### 4. Agreement Retention

**6 years** is the minimum time an agreement must be retained in archives for audit purposes. Check 6 years on the form for agreements where: all obligations and commitments of the parties can be accomplished within 6 years; there are no ongoing obligations or commitments such as inspection or maintenance of facilities; and it is unlikely that any disputes regarding the agreement would arise after the 6-year term. Agreements in this category have clear, short-term obligations that have no continuing significance to the agency once the agreement is closed.

**25 years** of retention is required for agreements with obligations or commitments on the part of the agreement parties exceeding 6 years (but less than 25 years) OR where access to the agreement would be necessary to resolve possible future disputes between the parties. Any agreement that involves construction of a facility by one of the parties on behalf of the other party or on property owned by the other party, OR assigns ongoing obligations or commitments such as maintenance, inspection, or reconstruction/relocation of a facility, should be retained for at least 25 years.

**75 years** of agreement retention involves the same considerations as 25-year retention, with the difference being that agreements within the 75-year category have obligations, commitments, or rights assigned between the parties that will exceed 25 years. 75-year retention requires special archiving procedures that are more costly than those associated with the other two categories. Therefore, carefully consider whether the agreement has obligations, commitments, or would be otherwise valuable to the agency for longer than 25 years.

### 5. Chapter 39.34 RCW

As required by RCW 39.34.040, agreements are to be posted for the public. Utilities, Railroad and Agreements (URA) staff use the WSDOT website to meet this requirement. Contact HQ Agreements if you have questions about whether or not this statute applies.

Check the [Chapter 39.34 RCW](#) box if the agreement is entered into pursuant to this statute **and it is referenced in the agreement**. This will allow WSDOT HQ staff to identify those agreements that must be posted on the WSDOT website.

#### **RCW 39.34.080**



[RCW 39.34.080](#) authorizes public agencies in Washington to contract with any one or more other public agencies to perform any governmental service, activity, or undertaking which each public agency entering into the contract is authorized by law to perform.

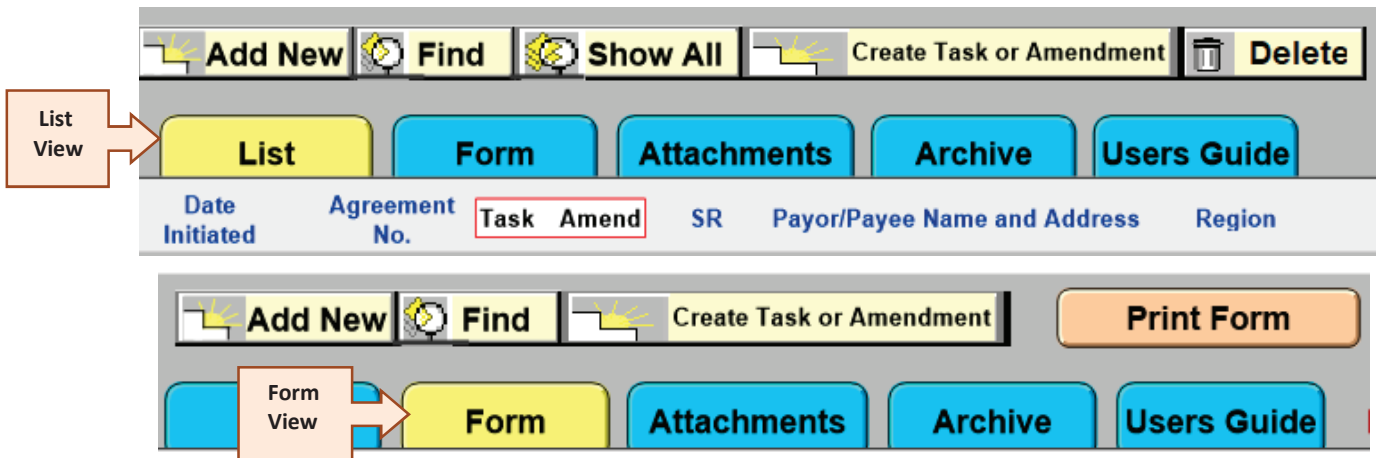
# Navigating the System

In the ART system, you will mostly be using the List or Form tab (depending on your preference).

- The **List** tab provides a “Records” view, which is a list of all agreements in the database or a selected group of agreements obtained by filtering (see [Button Functions](#)).
- The **Form** tab provides a “Form” view.

The ART system opens in List view with the most current record generated at the top of the list. To switch to Form view, activate that tab.


The **active** “tab” is  and the **inactive** tabs are .



## Button Functions

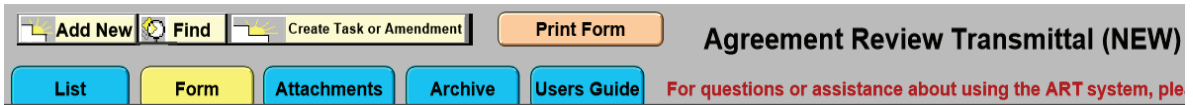
1. **“Add New”** – Used to generate a new agreement number or a blank form (see [page 1](#)).
2. **“Find”** – Used to filter or search the database.
  - a. The **Find** button allows searching for an individual agreement using the Agreement Number field. It can also be used as a filter by entering data in any of the available fields. As a filter, it is a convenient way to reduce the number of records for viewing.
  - b. To filter, activate the **Find** option (in the List or Form view) and fill in multiple fields to narrow the display. For instance:

*You know there was a GC Agreement with a City for sewer lines on I-5 generated under your User ID, but you can’t remember the agreement number. Activate the Find in the Form or List view, identify the SR, Organization (enter City as the Payee), and your User ID (to the right of the form in Form view and on the record line in the List view). This narrows down the dataset you are browsing.*
  - c. To modify existing records/forms, filter the records down to those **you** have initiated (by using the User ID or the Initiator field). The Initiator field at the bottom of the form works best for this since someone else may have originally generated the form. Filtering down the data eliminates the possibility of modifying the forms or records of other users.
3. **“Show All”** – This option is only available in the List view. It shows all the records in the ART database.

4. **“Create Task or Amendment”** – This button can be used in either the List or Form view to “duplicate” a record or form (see 4, page 2). When creating an ART entry for a task order or an amendment, be sure to remove or change any information that is not pertinent to the agreement or amendment you are working on. This includes removing any duplicated attachments to make room for current attachments. If HQ data entry duplicates, it will need to be removed by an HQ ART Database Administrator; contact your HQ reviewer.
5. **“Delete”** – Delete is only available in the List view and is for HQ ART Database Administrator use ONLY. (This precaution is to avoid accidental deletion of records.)
  - If a Duplicate record has been generated and it’s a mistake, call an HQ ART Database Administrator to have the record deleted.

**Note:** For “New” numbers, **do not delete or change a system-generated number.** If a number isn’t needed, enter “FOR USE BY ANYONE” or “HOLD FOR *your name*” in the Payee/Organization field.

6. **“Print”** – Always use the orange **“Print Form”** button on the Form tab to print a form. Printing from the file menu will produce a screen print, which is printed on two pages.



## Archive

The **Archive** is a separate database accessible from the ART system. It contains over 20,000 reviews of nonstandard agreement forms by HQ reviewers. Here you can search all the records for similar agreement reviews.

Within the **Archive** database, List or Form view options are available. The **Find** function in this database works the same as in the ART system. From the Archive database, in order to return to the ART system, activate the “List” tab of the ART system.

## Drop-Downs Menus

Several of the fields have drop-downs menus, which include: Agreement Review Type, Form Number, and Region.

## Drop-Down Menu Guidelines

1. The **Agreement Review Type** needs to be populated. Any agreement that does not have an EF form number is a nonstandard agreement and should be identified as such. The exceptions are:
  - Public Transportation Division with PTD Forms
  - Rail and Marine with Grant/Co-op Agreements
2. Some agreements have had Attorney General’s Office (AGO) approval without going through HQ Agreements. **These are still nonstandard agreements and need to be identified as such.** In these cases, contact an HQ ART Database Administrator and request that the HQ Agreement Reviewer field be populated with “AGO approved, HQ review not required.”
3. GCs with multiple tasks are another variance. Tasks should have a cursory review by HQ Agreements staff to ensure there are no contradictions between the task and the agreement. In cases where the GC has been HQ reviewed, but the task doesn’t require a review, contact an HQ ART Database Administrator and request that the HQ Agreement Reviewer field be populated with “GCA – HQ approved, review not required.”
4. As the form initiator, it is **your responsibility** to contact HQ for variances.

## Other Important Data Entry Fields

1. **Start Date:** This is the Date Executed if there isn’t a specified Start Date in the agreement.
2. **Date Executed:** This is a critical field for report running. It is the **last dated signature** of any party to the agreement. Enter the final signature date from the original in the Date Executed field. **Note:** The date in this field is part of the formula used to generate several reports. If it is left blank, it will cause an incomplete report to be generated.
3. **Work Order Number:** This field needs to be filled out whenever the agreement is associated with a work order. It is used as part of the formula that allows a report to be run to find all of the agreements associated with any one work order.

**Note:** Fields for HQ input are accessible to ART Database Administrators only.

# Reporting

## Chapter 39.34 RCW

RCW 39.34 authorizes public agencies in Washington to contract with one or more other public agencies to perform any governmental service, activity, or undertaking which each public agency entering into the contract is authorized by law to perform.

As required in law, all RCW 39.34 agreements are to be posted for the public. URA staff use the WSDOT website to meet this requirement. Contact HQ Agreements staff if you have questions about whether or not this statute applies. Check the Chapter 39.34 RCW box in the form if the agreement is entered into pursuant to this statute and it is referenced in the agreement. This will allow WSDOT HQ staff to easily identify those agreements.

## Other

Other statutes which agreements are governed under may have some reporting requirements. It is up to agreement managers and writers to understand what those requirements may be.



# Processing Agreements

When generating a new transmittal, the system will automatically assign an agreement number based on the prefix chosen. The system does not generate task identifiers for tasks under master agreements. Individual tasks are assigned by the Agreement Manager. To obtain a task number, contact the Agreement Manager. **Note:** Agreements with public utility entities should be assigned UTB numbers rather than GCB numbers.

## Agreement Prefixes

<b>OPB</b>	Leases	<b>UCB</b>	Private Developer
<b>GCB</b>	Government Contracts	<b>UTB</b>	Utilities
<b>GMB</b>	General Maintenance	<b>HR</b>	Haul Road/Detour
<b>LMB</b>	Local Mitigation	<b>TB</b>	Turnback
<b>RRB</b>	Railroad		

## Standard Form Agreement Processing

WSDOT has several standard form agreements that have been reviewed and approved by the Attorney General’s Office (AGO) and assigned unique form numbers by WSDOT Forms Management. These standard form agreements do not require additional review by HQ or the AGO. When using a standard form agreement, select the “WSDOT Standard Form” option from the drop-down menu and select the corresponding “Form No.” from the next drop-down menu. If a standard form number is not in the drop-down menu, contact HQ Agreements for assistance in filling out that section. It is **NOT** a standard form if it has not been assigned an EF number by Forms Management

Fill out standard form agreements using the number generated by the system. Once the agreement is executed, print the ART, attach it to your agreement, and send it to the Division of Accounting & Financial Services for filing and entry of information into TRAINS. **Note:** It is the responsibility of the form initiator to insert a PDF copy of the executed agreement in the ART system “Attachment” tab associated with the agreement. (The ART sheet already exists in the database. It is not necessary to include it in the posted agreement PDF.)

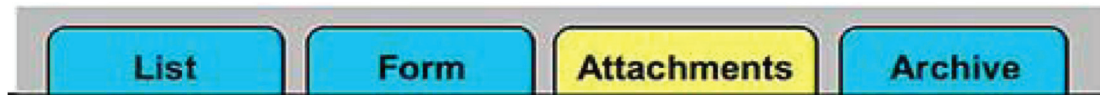
## Nonstandard Agreement Processing

**Nonstandard agreements require HQ and AGO review prior to execution.** When writing a nonstandard agreement, select the “Nonstandard HQ review required” option from the drop-down menu and leave the “Form No.” field blank.

Write the nonstandard agreement using the number generated by the ART system. Once the agreement documents are drafted and are ready for HQ review, email them (without the ART form) to the HQ reviewer, and include the agreement number in the subject line. Documents to be reviewed by the AGO must be in a format that can be edited, so do not send PDF copies of agreements or exhibits originally drafted in Word or Excel.



Once the agreement reaches “approved as to form” status with the AGO, the agreement can be signed by the appropriate authority for each party. After the agreement is executed, send the State Original to the HQ reviewer. The HQ reviewer will print the ART, attach it to the agreement, and deliver it to the Division of Accounting & Financial Services. **Note: It is the responsibility of the form initiator to insert a PDF copy of the executed agreement in the ART system “Attachments” tab associated with the agreement.**



## Attachments to the Database

The ART system has an “Attachment” tab for pertinent documents for future reference. There are three attachments spaces. Attach a PDF of the executed agreement, including the exhibits. The other attachment spaces can be for items such as exhibits, correspondence between parties leading up to the agreement, or any other supporting documentation.

### Attaching Documents

1. Open ART and be in the “Attachment” tab associated with the agreement. Open Explorer to locate the **PDF** and save the pdf to your desk top
2. Drag the pdf from your desktop into the blank area under the headers ‘Attachment 1.’ There are two areas for attachments such as Exhibits or other pertinent documents (Attachment 1 and Attachment 2).
3. The picture of the document in the tab will be hard to read, and only the first page of the attached file is visible. A double-click in the body of the attachment will open the document in Acrobat. Once opened in Acrobat, all the pages of the PDF can be viewed and will be easy to read and/or print.



## Agreement Review Transmittal

Agreement Number	Task	Amendment	Region	Agreement Manager	Org. Code
Agreement Review Type		Form No.	HQ Agreement Reviewer		Received in HQ
Agreement Retention <input type="checkbox"/> Six (6) years <input type="checkbox"/> Twenty-Five (25) years <input type="checkbox"/> Seventy-Five (75) years					Completed Date
<input type="checkbox"/> Chapter 39.34 RCW applies.					
Payor/Payee Name and Address				Start Date	
				Date Executed	
				End Date	
Project Title				Federal Employer ID Number / Statewide Vendor Number	
Project Description				Project Location	
				SR _____	
				MP _____ To _____	
				Control Section	
				Work Order Number	
				Fed Aid Project Number	
<b>Agreement Budget</b>					
Amount Payable by WSDOT		Allowed Overrun Percent %			
Amount Reimbursable to WSDOT		Advance Payment Amount			
Notes to HQ (Specify Accounting / Reviewer)					
HQ Agreement Review Comments					
Initiated By			Date		Phone

**Agreement Review Transmittal Form**



## Helpful Tips for Working in ART

1. Filtering: This reduces the number of records being viewed. Filtering can be done in List view or Form view.
2. Initiate the “Find” function to narrow the data:
  - a. Form view: Enter your name in the “Initiated by” field
  - b. List view: Enter a user id under the “User” heading

**Note:** This will capture the majority of your transmittals. Those that won’t show will be those where someone else created the record or a different name is in the initiator field.

3. Narrow the records visible even further by using the drop-down to select a region (this works well for those who do agreements in more than one region).
4. Limiting data to date ranges: The 4-digit year format is necessary.
5. The less than (<) or greater than (>) symbols can be used in the date fields to search a range of dates.

Examples:

- When viewing only agreements executed after a particular date, enter > mm/dd/yyyy.
- When viewing only agreements executed prior to a particular date, enter < mm/dd/yyyy.
- For a range, enter mm/dd/yyyy...mm/dd/yyyy (three periods between the two dates). For example: March 1, 2012, through June 30, 2012, would look like this: 3/1/2012...6/30/2012.

### Reports

1. Go to the List view: there is a “Print found list” report. What it contains is based on what “find” criteria you entered. The report is based on the field selections.
2. Once a defined set has been selected, you can print that “found list.”
3. The found list can range from a broad look at all agreements executed by the region, to a detailed report of all standard agreements with one entity. It all depends on what is identified. If work order numbers have been provided on the ART form, they could be used as a selection and a way to print a list of agreements associated with that work order.
4. There is also a Receivable/Payable report that will show the dollar figures for a selected set. Again, you use the Find function and then enter all known data in the corresponding fields. Hit enter on your keyboard to pull that given list up; then in the List view, use the “Generate Receivable/Payable report” button. The list will give you the number of reports associated with your information and dollar amounts for what the department has paid out or received. This has one flaw: if there is an agreement with amendments, the money could be shown twice and may have to be manipulated to narrow it down to get the exact dollars.
5. Specialized reports can be generated by exporting the found records to an Excel format. Once you have chosen the export function under “File,” give the file a name and select the Excel (\*.xlsx) option in the “Save as type” drop-down. At that point, FileMaker Pro provides a wizard for naming and field selection, enabling you to select the order and what you want to see in the spreadsheet. Selection options are available in “current layout” and “current table,” allowing you to select different fields. This option makes it easy to manipulate the data for reporting or generating graphs.