1.01 PURPOSE

To provide direction to employees who receive requests for information or documents from constituents and to provide guidance for those employees who are authorized to respond in order to ensure a prompt and accurate response, by appropriate personnel to all Inquiries and Public Records Requests that are received.

1.02 SCOPE

This policy applies to all ADOT employees and directs responses to Authorized Responders.

1.03 AUTHORITY

Arizona Revised Statutes A.R.S §28-363(A)(3) requires that the Director provide for the assembly and distribution of information to the public concerning department activities. ARS §41-1346 and §41-1347 establish standards and procedures for the management, acceptable storage and disposition of agency records. A.R.S. § 39.121 et seq provides for the inspection and/or copying of public records.

1.04 BACKGROUND

This policy was developed to provide guidance on the proper procedures for responding to requests from constituents.

1.05 DEFINITIONS

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorized Responder</td>
<td>ADOT employees who have been authorized to respond on behalf of ADOT to certain types of Inquiries or Public Records Requests.</td>
</tr>
<tr>
<td>Contact ADOT/Envoy</td>
<td>An online communication tool that facilitates management of constituent Inquiries and responses to them in a timely and consistent manner while tracking Issues and providing reportable data.</td>
</tr>
<tr>
<td>Constituent Services Officer (CSO)</td>
<td>An ADOT employee in Communications and Community Partnerships who is responsible for the compiling and reporting of constituent inquiries or issues that are received through the Director's office or through Contact ADOT Envoy.</td>
</tr>
<tr>
<td>Inquiry</td>
<td>A request for information or query from an outside person or entity that requires no analysis and is not a Public Records Request.</td>
</tr>
<tr>
<td>Issue</td>
<td>A concern; matter that is in dispute; a point of debate or controversy; problem or dilemma.</td>
</tr>
<tr>
<td>Public Records Request</td>
<td>Any request made to ADOT from an outside person or entity to inspect and/or copy records, documents, printouts, photographs, videos, or other materials not otherwise available on the ADOT internet site.</td>
</tr>
</tbody>
</table>
1.06 POLICY

A. Each Division or area listed on Attachment 1 will identify those employees who are authorized to respond to Inquiries and Public Records Requests on behalf of ADOT. Contact information for Authorized Responders is on Attachment 1. Contact information shall be updated as necessary without formal policy review procedures.

B. It is the responsibility of each employee who is not an Authorized Responder to promptly direct any Inquiry or Public Records Request to the appropriate area identified on Attachment 1 for response by an Authorized Responder.

C. Responses to all constituents must be polite, professional, to the point and based on factual information. ARS §41-770 defines discourteous treatment of the public as a cause for discipline or dismissal.

D. All responses in writing or email shall be edited prior to being released to the constituent. This includes, but is not limited to, checking for correct spelling, grammar and the use of acronyms.

1.07 INQUIRIES

A. Inquiries that are received by an employee who is not an Authorized Responder should be directed, as follows:

<table>
<thead>
<tr>
<th>Type of Document Received</th>
<th>Responsible Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complaints regarding life safety or property damage</td>
<td>Risk Management</td>
</tr>
<tr>
<td>Contracts, bids or requests for proposals</td>
<td>Procurement</td>
</tr>
<tr>
<td>Drivers’ licenses, vehicle titles and registration records, revenues collected by MVD</td>
<td>Motor Vehicle Division</td>
</tr>
<tr>
<td>Email through Envoy</td>
<td>Contact ADOT</td>
</tr>
<tr>
<td>Financial inquiries or reports</td>
<td>Financial Management Services</td>
</tr>
<tr>
<td>Financial Inquiries regarding revenue collected by MVD</td>
<td>MVD</td>
</tr>
<tr>
<td><strong>Highway Expansion and Extension Loan Program (HELP)</strong></td>
<td>Financial Management Services</td>
</tr>
<tr>
<td>Highway construction, design, maintenance</td>
<td>Risk Management</td>
</tr>
<tr>
<td>Legislative or Congressional inquiries</td>
<td>ADOT Government Relations Office</td>
</tr>
<tr>
<td>Media Inquiries</td>
<td>Communication &amp; Community Partnerships</td>
</tr>
<tr>
<td>Personnel Information or any employee related information</td>
<td>Human Resources, in conjunction with Public Records Request Coordinator</td>
</tr>
<tr>
<td>Public Records</td>
<td>Public Records Request Coordinator</td>
</tr>
<tr>
<td>Traffic Operations Center (TOC) Inquiries</td>
<td>TOC Public Information Officer</td>
</tr>
</tbody>
</table>
Use of Facilities

If uncertain about where to direct Inquiry

B. A record should be made of the Inquiries received. Inquiries about Issues should be forwarded to the Constituent Services Officer for tracking on the Contact ADOT/Envoy system. This ensures that there is one area that compiles and reports on Issues.

C. Any inquiries, media or otherwise that involve potential or pending litigation shall be coordinated with ADOT Risk Management and the appropriate assigned legal counsel.

1.08 PUBLIC RECORDS REQUESTS

A. All Public Records Requests should be in writing or confirmed in writing. Approved records request forms, such as the motor vehicle records request form, shall be utilized when required. A written public records request should include the following:

1. Whether the records are for a commercial or non-commercial purpose.
2. Name and contact information of the requester, if available.
3. Identification of the specific documents sought.
4. Specify any time restrictions for a response, such as a pending court date.

B. Authorized Responders should keep a written record of each Public Records Request that includes the date of the request, the date received by the Agency (if different), the name and contact information of the requestor, the documents or records requested, whether or not the request is for a commercial purpose, a due date (if listed) and the date of the response.

C. AUTHORIZED RESPONDERS

<table>
<thead>
<tr>
<th>Document/Request Type(s)</th>
<th>Authorized Responder(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Commercial Use Requests</td>
<td>MVD</td>
</tr>
<tr>
<td>Public Records Request Coordinator</td>
<td>Risk Management</td>
</tr>
<tr>
<td>Custodian of Records for claims and litigation – including Subpoenas, Subpoena Duces</td>
<td>Procurement</td>
</tr>
<tr>
<td>Tecum and Requests for Production of Documents for Records kept by Motor Vehicle Division</td>
<td></td>
</tr>
<tr>
<td>All other Subpoenas, Subpoena Duces Tecum and Requests for Production of Documents.</td>
<td>MVD</td>
</tr>
</tbody>
</table>

NOTE: Any employee receiving any of these documents must note on the document the date and time received and whether it was received by mail or served in person. It should be forwarded immediately to either MVD or Risk Management.
**Document/Request Type(s)** | **Authorized Responder(s)**
--- | ---
Driver licenses, vehicle titles and registration records – In compliance with the Federal Driver’s Privacy Protection Act (18 U.S.C. § 2721-2725) and Arizona Revised Statute § 28-455 - Release of personal information; fees Section (C), special Motor Vehicle Record Request Form required. Subpoenas requesting these records. | Motor Vehicle Division
Highway construction, design, maintenance and related information and documentation - In accordance to ADOT Policy [SUP-4.01](#), must be in writing and state why the information is being requested and its intended use. | Risk Management
Legislative or Congressional inquiries | Government Relations Office
Media Requests | Communication & Community Partnerships
Personnel Information or any employee related information | Human Resources, in conjunction with Public Records Request Coordinator
Publication of various reports, studies and manuals for agency and public use – various fees are charged. | Facilities Management and Support Group (FM&SG), Engineering Records
For prices and brochure | [Engineering Records](#) Publications
Solicitation Requests (for use of ADOT property)– form is required to be completed and returned to Solicitation Request Coordinator. | Solicitation Request Coordinator
Questions regarding documents – uncertain as to where documents should be forwarded. | Public Record Request Coordinator
Traffic Records | Risk Management
Voluminous Records –Records that take extensive time for searching, redacting and copying should be coordinated with the Public Request Coordinator Or Risk Management. | Public Record Request Coordinator or Risk Management

D. Any public records request where the request is in the furtherance of any type of claim or litigation, regardless of the involvement of the state, shall either be forwarded to Risk Management for response or the response will be coordinated with Risk Management.

E. Any public records request by media or otherwise that involve potential or pending litigation shall be coordinated with Risk Management and the appropriate assigned legal counsel.
1.09 PROCEDURE FOR RESPONDING TO PUBLIC RECORDS REQUESTS

A. “Routine,” “simple” requests – a notation will be made on the request reporting the date of the request, the date the request was fulfilled and the identity of the person who handled the request. A log of the requests should be kept or they may be forwarded to the Constituent Services Officer for recording.

B. The public records law requires that the copies be furnished “promptly.” Some requests, by their nature, require extensive employee time for searching, redacting and/or copying and cannot be delivered “promptly.” In coordination with the Public Record Request Coordinator or Risk Management the following procedure will be conducted.

C. An initial response will go out no later than 7 business days from the stamped receipt date acknowledging receipt of the request and giving an estimated time frame for when the documents should be available.

D. If the initial estimate of time cannot be met, a second letter should be sent on or before the original estimated completion date, giving the revised estimate and reasons for the delay.

E. When the records are available for inspection and/or copying, an additional letter will be sent detailing the records that have been found that satisfy the request and the cost for the copies.

   1. If a document is being withheld, the title, date and general description of the document being withheld must be listed along with the reasoning for withholding the document in the response to the constituent.

   2. If information is redacted from a document, reasoning should be provided to the constituent/requester as to why the information has been redacted.

   3. A copy of documents, photos, CD’s or other items released to the public shall be kept in either paper or electronic means to include the original request and any correspondence created in the course of completing the public records request for three years.

   4. A non-redacted original should be retained in case of a court-ordered in camera review.

F. While most documents and other matters maintained by a state agency are public documents and subject to inspection and copying by the public, there are types of documents and certain information in the documents that may be restricted. In some instances, the document may not be released to the public. Guidelines will be developed for all Authorized Responders to ensure consistency and accuracy in responses.

G. Authorized Responders shall log all public records requests into the Public Records Shared Database.

1.10 FEES

A. MVD has a fixed fee for motor vehicle record requests that is set by administrative rule.

B. MVD and Risk Management have a fee that is set by statute (A.R.S. § 12-351) for documents provided in response to a civil subpoena.

C. For other non-commercial requests the fees are:

   1. for normal sized documents, $.25 cents per page;

   2. for data copied to a compact disc, $15.00 per disc;

   3. or copies of video or audio tapes, $20 per tape;

   4. or oversized documents or other materials, a reasonable fee for the cost of the time, equipment, materials and personnel used in producing the copies should be charged.
D. For commercial requests, in accordance with A.R.S. §39-121.03, the fee shall include the following:

1. A portion of the cost to the public body for obtaining the original or copies of the documents, printouts or photographs.

2. A reasonable fee for the cost of time, materials, equipment and personnel in producing such reproduction.

3. The value of the reproduction on the commercial market.

1.11 CORRESPONDING POLICIES

A. SUP-4.01 Public Requests for Information and Documentation of Highway Construction, Design and Maintenance

B. ITM-8.01 Electronic Mail (email) Policy

C. MGT-9.09 Records Retention and Disposition Schedule.
ATTACHMENT 1
Contact Information for Authorized Responders

Constituent Services Officer
Communication and Community Partnerships
206 South 17th Avenue, Room 101
Mail Drop 118A, Phoenix, AZ 85007
(602) 712-8111

Facilities Management and Support Group (FM&SG)
Engineering Records
1655 West Jackson
Room 175 MD112F
Phoenix, AZ 85007
602-712-8216
Or Fax 602-712-3235

Government Relations Office
602-712-7412
206 South 17th Avenue
MD 140A
Phoenix, AZ 85007

Human Resources
206 South 17th Avenue
MD171A Room 163
Phoenix, AZ 85007
602-712-8188

Motor Vehicle Division
PO Box 2100
Phoenix AZ 85001-2100
MD 500M
Email – mvdinfo@azdot.gov
Phoenix: 602-255-0072
Tucson: 520-629-9808
Elsewhere in Arizona: 800-251-5866

Procurement
1739 West Jackson
MD100P
Phoenix, AZ 85007
602-712-7211

Public Record Request Coordinator
206 South 17th Avenue
MD100A
Phoenix, AZ 85007
602-712-7919

Risk Management
1324 N. 22nd Avenue
MD 030P
Phoenix, AZ 85009
602-712-7327

Solicitation Request Coordinator
1801 West Jefferson
MD500M
Phoenix, AZ 85007
602-712-7966

Traffic Operations Center
TOC Public Contact Person
2302 West Durango
MD PM02
Phoenix, AZ 85009
602-712-6086

Contact ADOT
Jgeyser@azdot.gov

Procurement
1739 West Jackson
MD100P
Phoenix, AZ 85007
602-712-7211