

Purpose: Define a process around how Research Operations manage FOIA requests when they are received from a federal agency.

WHEN A REQUEST IS RECEIVED:

- FOIA request should be sent straight to Research Operations Management (Executive Director – Research Operations and/or Assistant Director, Negotiations Team) and they will work with the Principal Investigator (PI_).
 - PI will be asked to review the documents requested to determine whether there is any information that the Federal Agency should be asked to redact before disclosing to the party requesting the information.
 - If redactions or significant concerns, they will work with ASU's Office of General Council
 - If no concerns, they will follow-up with the federal agency

REDACTION OF INFORMATION:

- With all FOIA requests, the Federal Agency typically redacts as a matter of course any personal information or items that concern privacy.
 - In ASU's response to the Federal Agency, ASU will indicate that they expect the Federal Agency to redact all/any personal information pursuant to Exemption 6.
- In the FOIA request email, the FOIA Analyst typically describe exactly what ASU needs to do if there is confidential or proprietary information that we want the Federal Agency to redact before disclosing to the requestor.

In example:

*The FOIA generally prohibits us from withholding records except to the extent that disclosure of proprietary information (trade secrets or commercial or financial information) in the record, if any, that you assert is privileged or confidential. Therefore, I request that you carefully review the proposal, identifying by page number, line or paragraph, the parts you consider confidential. You will need to include a detailed statement explaining how disclosure of this information would harm your organization or benefit your competitors, or why it is otherwise exempt from disclosure under FOIA. Understand that information you submit in response to this request may itself be subject to disclosure. Please do **not** send us a copy of the proposal unless you have significant redactions. **When sending us a proposal with redactions, be sure to encrypt the message or apply the redactions in order to safeguard the information.***