**TECHNOLOGY CONTROL PLAN (TCP)**

This project/activity involves or has the potential to involve the receipt and/or use of Export-Controlled Items or Information (ECII). As a result, the project/activity comes under the purview of either the

State Department’s International Traffic in Arms Regulations (ITAR) at <http://pmddtc.state.gov/regulations_laws/itar_official.html>, or the Department of Commerce’s Export Administration Regulations (EAR) at <http://www.access.gpo.gov/bis/ear/ear_data.html>.

Export controlled technical information, data, materials, software, or hardware, (i.e. technology used in this project), must be secured from use and / or observation by unlicensed non-U.S. persons. In order to prevent unauthorized exportation of protected items / products, information, or technology deemed to be sensitive to national security or economic interests; a Technology Control Plan (TCP) shall be required.

In accordance with Export Control Regulations (EAR and ITAR), a Technology Control Plan (TCP) is required to prevent unauthorized export or transfer of controlled items, materials, information, or technology. This document serves as a basic template for the minimum elements of a TCP and the safeguard mechanisms that need to be put into place to protect authorized access or use. Security measures and safeguards shall be appropriate to the export classification involved. Assistance with this form is provided by the Export Compliance Officer (ECO), David Sundvall, at 956-665-7873 or david.sundvall@utrgv.edu.

Establishing a TCP is a multi-step process where: 1) the PI develops the TCP and submits it to the ECO; 2) once approved, the PI is responsible for reviewing the control plan with all participants who individually sign off that the plan has been explained to them; 3) the PI submits a copy of all signed documents to the ECO, and keeps the originals with the project file, and implements TCP; 4) the PI notifies the ECO of any updates to the TCP as they occur (personnel, scope of work, safeguards, etc).

**Title of Sponsored Project/Activity:**

Click or tap here to enter text.

**Technical Description of Export Controlled Material(s) to be Received and /or Used:**

Click or tap here to enter text.

**Principal Investigator:**

Click or tap here to enter text.

**Location:** Click or tap here to enter text.

**Phone:** Click or tap here to enter text. **Email:** Click or tap here to enter text.

**Technical Description of Export Controlled Material or Technical Data to be Received and/or Used:**

Click or tap here to enter text.

**Export Classification ECCN (e.g. 5D002):** Click or tap here to enter text.

**ITAR (e.g. VII (e)):** Click or tap here to enter text.

**PI Signature: Date:**

1. **Project Personnel** (clearly identify every person (including their country of citizenship) who may have authorized access to the controlled technology / item.

**Name and Citizenship:** Click or tap here to enter text.

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1. **Personnel Screening Procedures:** At a minimum, all persons that may have access to export-controlled materials or data must be listed on the TCP and screened against US government restricted persons/entities lists. Screening will be completed by the Export Controls Officer, or their designee. For more information on the screening process please contact the ECO.

**Screening Results**: Click or tap here to enter text.

1. **Physical Security Plan:** (Project data and/or materials must be physically shielded from observation by unauthorized individuals by operating in secured laboratory spaces, or during secure time blocks when observation by unauthorized persons is prevented.

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| --- |
| **Location** (include building and room numbers, etc.):  Click or tap here to enter text. |

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| **Physical Security** (provide a description of your physical security plan designed to protect the item/technology from unauthorized access, (e.g. secure doors, limited access, security badges, locked desks or cabinets, secure computers, etc.):  Click or tap here to enter text.  **Item Storage (**Both soft and hard copy data, notebooks, reports and research materials are stored in locked cabinets; preferably in rooms with key-controlled access. Equipment or internal components and associated operating manuals and schematic diagrams containing “export-controlled” technology are to be physically secured from unauthorized access):  Click or tap here to enter text.  **Destruction or Return of Materials** (describe how the export controlled materials will be handled at the end of the project or when they are not needed anymore, (shredding, file wipes, destroy hard drive, return to sponsor, etc.).  Click or tap here to enter text. |

1. **Information Security Plan** (Appropriate measures must taken to secure controlled electronic information, including User ID’s, password control, SSL etc.) (Example: database access shall be managed via a Virtual Private Network (VPN), allowing only authorized persons to access and transmit data over the internet, using 128-bit Secure Sockets Layer (SSL) or other advanced, federally approved encryption technology).

**Describe what information security safeguards will be used:**

Click or tap here to enter text.

1. **Training / Awareness Program**

**Mandatory Export Training**

All participants listed on a TCP must receive export training. In person training is available and highly recommended. Contact [david.sundvall@utrgv.edu](mailto:david.sundvall@utrgv.edu) for arrangements.

**TECHNOLOGY CONTROL PLAN BRIEFING**

***(Must be signed by all persons with access)***

You may be held personally liable for violations of the export control regulations, (ITAR, EAR, OFAC). You must exercise care in using, sharing and safeguarding export-controlled materials or technical data with others.

You agree that you:

* will comply with all UTRGV export compliance policies and procedures;
* have been advised that the technical data, computer software, materials or technology cannot be transferred to other non-US persons without the prior written approval or other written authorization;
* will not leave or place the export-controlled materials, software or technical information in any location or medium where there is risk that any unauthorized export may occur (including, but not limited to, placing export-controlled materials, unattended without effective safeguards, in non-password protected files, making export-controlled information accessible to the general public over the Internet, leaving any export-controlled materials physically or visually accessible to non-authorized users, the research community or public, and/or discussing attributes of the export-controlled materials or technical information where there is a risk of any unauthorized person overhearing).

This is to acknowledge that I have read and understand UTRGV’s Technology Control Plan for the stated project. I have discussed the procedures with the PI and I agree to the follow all of the procedures of contained in the TCP. If I have any questions about this TCP, its requirements or following any procedure, I will contact the PI for advice before proceeding. PI agrees to update this plan as required and as personnel are added to or deleted from this project.

Signature: Title:

Printed Name: Click or tap here to enter text. Date:

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**Approved by:**

Signature: Title: Export Controls Officer

Printed Name: David W. Sundvall Date: