

Florida Atlantic University – Division of Research Export Control – Technology Control Plan (TCP)

Florida Atlantic University (FAU) is committed to complying with all U.S. export control laws and regulations as well as U.S. foreign policy. Federal laws and regulations, including, but not limited to, the International Traffic in Arms Regulations (ITAR) and the Export Administration Regulations (EAR) regulate the transfers of items, technology, software, technical data, and information to certain non-U.S. persons and entities. This Technology Control Plan (TCP) will provide the FAU Principal Investigator (PI) with the necessary guidance and safeguards to comply with the applicable laws and regulations as it relates to their research activities. It is the responsibility of the PI to provide true, accurate, and complete information requested within the TCP and to strictly adhere to the security measures herein. Further, the PI is responsible for informing FAU's Export Control Officer immediately after any changes to the information provided below becomes known to the PI.

PI	<input type="text"/>	Department	<input type="text"/>
Phone	<input type="text"/>	E-mail	<input type="text"/>
Sponsor	<input type="text"/>		
Project Period	<input type="text"/>	Award Number	<input type="text"/>
Project Title	<input type="text"/>		

Project Description: Please summarize the scope of work of the research project

Project Personnel: Please provide the name, country of citizenship, and the role of the individual as it relates to the export controlled item, technology, software, technical data, or information. Additional Project Personnel may be listed in Attachment A as necessary.

#	Name	Country of Citizenship	Role Related to Controlled Item
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Export Controlled Items or Information: The following items or information are subject to export control laws and regulations, which require specific security measures that are provided below. Only individuals who are identified as Project Personnel and have been approved by FAU’s Export Control Officer may have access to the controlled items or information. The PI may not transfer any items, technology, software, technical data, or information prior to receiving approval from FAU’s Export Control Officer. Additional items or information may be listed in Attachment B as necessary.

#	Name of Item or Information	Type of Item or Information*	Governing Regulations**	Classification Number***
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* Equipment, materials, software, hard information, electronic information

** International Traffic in Arms Regulations (ITAR) or the Export Administration Regulations (EAR)

*** U.S. Munitions List Number (ITAR) or Export Control Classification Number (EAR)

Physical Security: Please provide the information below, which relates to the physical security of the item, technology, software, technical data, or information. Physical security measures include general access as well as visual exposure.

1. Location: (i.e., address, campus, building, room, lab)

2. Security Measures: (i.e., keycard access, pin pad access, lock and key, security badges)

3. Storage: (i.e., location, security measures, additional storage security measures)

4. Physical Marking: When appropriate, items and information should be clearly marked with an appropriate export control warning

5. Destruction of Materials: How will the item or information be handled at the end of the research project (i.e., shredding, destroy hard drive, return to sponsor)

Information Security: Please provide the information below, which relates to the data security of the item, technology, software, technical data, or information. Information security measures includes physical access, digital access, as well as visual exposure.

1. Location: (i.e., address, campus, building, room, lab)

2. Security Measures: (i.e., user ID, password protected, encryption)

3. Storage: (i.e., location, security measures, additional storage security measures)

4. Digital Marking: When appropriate, items and information should be clearly marked with an appropriate export control warning (i.e., watermarks, headers, footers)

5. Destruction of Materials: How will the item or information be handled at the end of the project (i.e., file wiping, destroy hard drive, return to sponsor)

It is the responsibility of the PI to ensure that FAU's Office of Information Technology is aware of, and approves, the measures relating to the information security provided within this TCP

without violating export control laws and regulations regarding the release of information or technologies.

Associated Agreements: Please provide the information below for any agreements or contracts related to the research activity regulated under this TCP.

#	Type of Agreement	Sponsor or Outside Party	Sponsor Award Number	FAU Award Number
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Export Control Risks: Please provide all export control restrictions related to this research project, including those restrictions imposed through associated agreements. Please identify the locations of the export control restrictions within the document(s).

Training: All Project Personnel must enroll in, and pass, the export control training module provided by CITI Program prior to obtaining access to export controlled items or information. For projects periods of one (1) calendar year or longer, annual training is required by all Project Personnel who have access to export controlled items or information. Additional training may be required if requested by FAU's Export Control Officer. As part of the training, Project Personnel are further informed of what constitutes an export, their responsibilities to prevent disclosures of

items and information, and the criminal and civil penalties for failure to comply with U.S. export control laws and regulations. By signing this TCP, the PI is acknowledging that they, and all named Project Personnel, have enrolled in, and passed, the export control training module provided by CITI Program.

Record Retention: U.S. export control laws and regulations require that all records associated with export controlled items, technology, software, technical data, and information must be retained. The PI and their Department is responsible for maintain the records for a period of five (5) years after the date of the last research activity or longer if required to do so under the terms and conditions of an associated agreement.

Certification: To the extent of my knowledge as the Principal Investigator, the information provided above is accurate, true, and complete. I have read and understand the terms and conditions of Florida Atlantic University's Technology Control Plan for the stated project. I agree to ensure the compliance of the terms and conditions of this Technology Control Plan by the Project Personnel listed above. I am electing to participate in this research project and understand that I could be held personally liable if I unlawfully disclose, regardless of form or format, export controlled items, technology, software, technical data, or information to unauthorized persons. I agree to inform Florida Atlantic University's Export Control Officer immediately after I become aware of any changes to the information provided in, or affecting, this Technology Control Plan.

**Florida Atlantic University
Principal Investigator**

By: _____

Name: _____

Date: _____

**Florida Atlantic University
Export Control Officer**

By: _____

Name: _____

Date: _____

**Florida Atlantic University
Principal Investigator's Dean**

By: _____

Name: _____

Date: _____

Dan Flynn, Ph.D.
Vice President for Research

Date

Attachment A

Additional Project Personnel

#	Name	Country of Citizenship	Role Related to Controlled Item
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Attachment B

Additional Export Controlled Items or Information

#	Name of Item or Information	Type of Item or Information*	Governing Regulations**	Classification Number***
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