

Florida Atlantic University – Division of Research

Technology Control Plan (TCP)

Florida Atlantic University (FAU) is committed to complying with all U.S. 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 dissemination and transfers of particular items, technology, software, technical data, and information to certain non-U.S. persons and entities. This Technology Control Plan (TCP) will assist the FAU Principal Investigator (PI) by providing necessary guidance and safeguards as may be required by applicable laws and regulations as it relates to their research activities. It is the responsibility of the PI to maintain true, accurate, and complete information as requested in the TCP and to strictly adhere to the security measures herein. The PI is responsible for informing FAU’s Export Control Officer immediately of any changes in circumstances that affect this TCP. This Technology Control Plan supersedes and replaces all prior Technology Control Plans of the PI’s for the FAU project related to the award as described below.

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

I. PROJECT DESCRIPTION: Please summarize the scope of work of the research project.

II. PROJECT PERSONNEL: The name, country of citizenship, and the role of each individual as it relates to the Project’s export-controlled items, technology, software, technical data, and information is provided below. Additional Project Personnel may be listed in Attachment A as necessary. Any changes to Project Personnel must be approved by Florida Atlantic University and Defense Advanced Research Projects Agency prior to being granted access to any project Controlled Unclassified Information or export controlled technical data or technology.

#	Name	Citizenship	Role Related to Project	Affiliated Entity
1				
2				
3				
4				
Additional Project Personnel listed in Attachment A as needed				

III. 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 Project Personnel 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.

#	Form of Controlled Items*	Type of Controlled Items**	Governing Regulations***	Cite(s) of Governing Regulations
1				
2				
3				
4				

* Equipment, materials, software, information, technology

** U.S. Munitions List (USML), Commerce Control List (CCL), Controlled Unclassified Information (CUI)

*** International Traffic in Arms Regulations (ITAR), the Export Administration Regulations (EAR), or the Defense Federal Acquisition Regulations (DFAR)

IV. PHYSICAL SECURITY: The information below 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. Locations: (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).

V. 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)

The PI agrees to comply with the terms of the Controlled Unclassified Information (“CUI”) Supplementary Security Plan dedicated to this project and developed by Florida Atlantic University’s Director of Information Security, which is hereby incorporated by reference into this TCP. It is the responsibility of the PI to ensure that FAU’s Office of Information Technology is aware and approves of 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.

VI. 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 Party	Prime Award #	FAU Award #
1				
2				
3				
4				
5				

VII. EXPORT CONTROL RISKS: Applicable export control restrictions related to this research project, including those restrictions imposed through associated agreements, are identified below.

VIII. TRAINING: Project Personnel are required to complete appropriate training to make each member aware of their responsibilities for safeguarding export-controlled items, technology, software, technical data, and/or information. The specific training(s) required of each Project Personnel member are identified below.

IX. 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.

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 Controlled Unclassified Information to unauthorized persons. I agree to inform Florida Atlantic University's Export Control Officer immediately once I become aware of any changes to the information provided within, or affecting, this Technology Control Plan.

**FAU/HBOI
PRINCIPAL INVESTIGATOR**

By: _____

Name: _____

Date: _____

**FAU
EXPORT CONTROL OFFICER**

By: _____

Name: _____

Date: _____

**FAU/HBOI
EXECUTIVE DIRECTOR**

By: _____

Name: _____

Date: _____

Attachment A

Additional Project Personnel

#	Name	Citizenship or Immigration Status	Role in Project	Affiliation
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Attachment B

Additional Export Controlled Items or Information

#	Name of Item or Information	Type of Item or Information*	Governing Regulations**	Classification Number***
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				