

ORC USE ONLY	
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Request for Technology Control Plan



Instructions and Certifications (Failure to follow may result in a delay in processing)

Complete this form to request the implementation of a Technology Control Plan for export control purposes in circumstances involving controlled items and/or defense articles and foreign countries or persons. The purpose is to prevent the disclosure or transmission of export controlled items and/or defense articles to foreign countries or persons in the absence of an approved license, applicable exception, or other requirement.

Contact the Research Compliance and Export Control Officer with any questions.

By signing this Request for Technology Control Plan (Request), the Requestor and Personnel certify the following:

1. TrainTraq Training "211212: Export Controls and Embargo Training - Basic Course" has been completed, is current (expires after two years), and its Completion Report is included as an attachment;
2. Have read and understood the responsibilities set forth in TAMUCC Rule 15.02.99.C1 and the TAMUCC Export Control Manual regarding export control; understand that they are responsible for oversight and compliance with the Request, if approved;
3. Will coordinate with the Office of Sponsored Research Administration (OSRA) regarding sponsored projects, funding, and other requirements;
4. Will coordinate with the Office of Research Compliance (ORC) regarding this Request, other related export control determinations, and any other related compliance determinations;
5. Have read and reviewed this Request, any applicable supporting documentation or third-party approval has been obtained from the appropriate authority and has been included as an attachment to the Request; the Requestor has signed the Request electronically;
6. Have submitted the Request a **minimum of thirty (30) days in advance** of the anticipated event; will communicate whether there is a firm start date or other deadline associated with the Request;
7. If the Request is approved, **each Personnel** will complete and submit a Personnel Acknowledgment and Certification of Responsibilities and Technology Control Plan (Acknowledgment) **in advance of** his/her commencement of work to which this Request applies;
8. Will submit an **update** on the status of the approved Request to ORC **at least on an annual basis**; will submit an Amendment for ORC review in advance of revision to any part of the approved Request or its personnel;
9. Will keep a copy of this Request, if approved, for five (5) years after the approval date.

After completing the foregoing, submit the Request with supporting documentation via email to the Research Compliance and Export Control Office:

research.compliance@tamucc.edu

Requestor Name:	<input style="width: 95%;" type="text"/>		
Phone:	<input style="width: 30%;" type="text"/>	Email:	<input style="width: 60%;" type="text"/>
Maestro # (if funded):	<input style="width: 95%;" type="text"/>		

Personnel List

List all personnel with access to controlled items or defense articles or who will otherwise be working on the research in **Appendix I**.

Use of Controlled Items or Defense Articles

List all item(s) to be used that may potentially be categorized as "controlled items" or "defense articles." If unknown, list all items to be used. Additional space provided in **Appendix II**.

To the extent possible or known, provide the jurisdiction and classification of each item listed.

Name or Description	Type	Jurisdiction	Classification
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Physical Security Plan: Restricted Access to Work Area; Marking Requirement

Note: The "one lock" principal is the **minimum requirement** to ensure items are secured. This principal requires at least one mechanism be used to prevent unauthorized access.

Restricted Access to Work Area

Access to locations where work with controlled items or defense articles will be performed must be restricted (*i.e., location has a clearly defined perimeter, which is adequate to protect against oral or visual disclosure*).

Provide location(s) of work with controlled items or defense articles.

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Describe the physical security plan for each location.

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Indicate how access to controlled items or defense articles will be restricted during custodial service and maintenance servicing periods.

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Marking Requirement

Whenever possible, controlled items or defense articles should be marked appropriately to provide notice of their contents/nature.

Describe any markings that will be used for controlled items or defense articles. If none will be used, provide justification.

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Information Security Plan: Computers; Data Storage and Transmission; Use of Supercomputing or Cloud Computing

Computers

A computer used to access or store controlled items or defense articles should utilize or implement security features to restrict unauthorized access (e.g., firewalls, security pack or patch, access limited to approved personnel, password protection, documentation of usage, etc).

Describe any security feature(s) that will be used for computers.

Data Storage and Transmission

Note on external portable hard drives (storage): The recommendation is that external portable hard drives or flash drives be used for data storage, provided that physical storage is employed when not in use. Drives and devices used must be password protected and/or encrypted, including drives with network access or back-up servers.

Note on email (transmission): Email should not be used for transmission purposes. A secure file transfer method (e.g., SSH, SCP, SFTP, SSL) or mailing of a disk or flash drive are preferred methods of transfer.

Describe any security feature(s) that will be used for data storage and transmission.

Use of Supercomputing or Cloud Computing

The use of supercomputing or cloud computing facilities or services used to store, process, or transfer controlled items or defense articles will be considered on a case-by-case basis.

Describe any intended use of supercomputing or cloud computing facilities or services, including their security feature(s).

Contractual or Other Limitations on Disclosure or Transmission

Provide for any contractual or other limitations on disclosure or transmission of the controlled items or defense articles below (e.g., export control terms in a contract, restriction on foreign national personnel, sponsor approval required prior to publication or dissemination of research results, non-disclosure agreement, etc).

Note on students as personnel: For research that requires sponsor permission to publish or where the results are subject to export control regulations, student participation must be limited to work that is not required for the completion of his/her degree or program, unless otherwise approved by the respective Department Chair, Dean, and the Vice President for Research, Commercialization and Outreach.

Limitations on Disclosure or Transmission	Mitigating Factors

Intended Exports

List any intended exports of controlled items or defense articles below (*e.g., shipment to a foreign country or person, disclosure to a foreign person in the US, final destination or recipient is known to be a foreign country or person, etc.*). **Approval from ORC must be obtained before the export takes place.**

Describe any intended exports (*i.e., who, what, where, when, how*).

Destruction or Return of Controlled Items or Defense Articles

If applicable, indicate how controlled items or defense articles will be destroyed or returned to the sponsor or owner upon completion of the research, taking into account contractual terms, export control regulations, or other requirements (*e.g., cross-cut shredding, incineration, return to owner, obtaining a license, wiping of software, etc.*).

If applicable, explain (*i.e., who, what, where, when, how*).

If not applicable, explain.

Disaster/Hurricane Plan

Describe the disaster/hurricane plan in place to ensure restricted access to the controlled items or defense articles.

If applicable, explain.

If not applicable, explain.

Requestor and Department Chair Signatures

Requestor

Name:

Signature:

Date:

Department Chair or Director

Name:

Signature:

Date:

ORC Approval

Name:

Signature:

Date:

Appendix I: Personnel List (Required)

Full Legal Name	US Status	Country(ies) of Citizenship <i>(not required for Non-Immigrants)</i>
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Appendix II: Use of Controlled Items or Defense Articles (Continued)

Name or Description	Type	Jurisdiction	Classification
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