

Technology Control Plan

A Technology Control Plan (TCP) is required for research which deals with technical items, data, and/or software controlled by U.S. Export Administration Regulations (EAR) or the International Traffic in Arms Regulations (ITAR). The requirement applies to all research activities whether or not they are externally sponsored. The TCP should specifically address the following:

1. Personal Training – Awareness and basic understanding of export restrictions; document time and date of training. **NOTE:** All laboratory personnel should receive basic training.
2. Personnel Screening – Identify of foreign nationals with physical access to the laboratory area; identity, residency status, and project role of ASU-Jonesboro participants; identity of person with primary responsibility for security of controlled items/materials/equipment (usually the Principal Investigator but may be a senior member of the research team).
3. Physical Security – Laboratory and building access escort requirements, visitor logs, etc.
4. Equipment Access – Identification of controlled laboratory equipment and methods for restricting access
5. Information Security – Control of access to both electronic and physical data and information, software, and prototype.
6. Internal security evaluation – Periodic review and audit of internal controls to identify and report findings of any unauthorized export.
7. Statement that participants are not on any of the following lists:
 1. Denied Persons List
 2. Unverified List
 3. Entity List
 4. Specially Designated Nationals List
 5. Debarred List
8. Statement that a) controlled items have been or will be identified for all participants prior to access; b) all participants having access to controlled items have been informed of the security measures to be used in controlling access; c) participants will be adequately supervised by the person responsible for access control to prevent the export to unauthorized persons.
9. Signature of the Foreign National in which this plan is executed and acknowledges its existence.
10. Signature of Principal Investigator and, if different, the person with primary responsibility for access control.
11. Signature of Department Head/Chair or unit equivalent acknowledging approval to engage in controlled research activities as described.

*Please see the Export Control, Technology Control Plan document located in the *Attachment* menu. This document contains the required forms Principal Investigators must complete if their research activities involve technical items, data, and/or software controlled by U.S. Export Administration Regulations (EAR) or the International Traffic in Arms Regulations (ITAR).

*For questions, please contact research@astate.edu.

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