



Technology Control Plan

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Please read the following in its entirety before completing the form

Technology Control Plan (TCP) Developed For

Department Name

Project Title

Principal Investigator

Department Head

Project Start Date:

Project End Date:

TCP Implementation Date:

Department to retain documentation for 5-years from project completion, or from expiration of the license (as applicable)¹

Approved by: <input type="text"/>	Date: <input type="text"/>
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Director, Export Control Compliance

Note: Review of [Export-S-003](#) is required before completing this form.

¹ Retention requirements under the EAR can be found under [15 CFR Ch. VII, §762.2 - 762.7](#) For ITAR, see [22 CFR §122.5 Maintenance of records by registrants](#) and, [§123.26, Recordkeeping requirement for exemptions](#). See also [15 CFR § 30.10](#)



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Project Information

Project Title:

Description: *Summarize the scope of the work and clearly define the technical data, hardware, and or defense services. Include background information on the full scope of the program.*

UM Proposal # Award #

Contract #

Is this project at the Prime or Subcontract Level? If project is at Subcontract level, please identify Prime

Is the project work for U.S. Military, U.S. Government or other U.S. federal agency? Please identify the military branch or agency:

Is there a [DFAR](#) (Defense Federal Acquisition Regulation) clause in the agreement/award?²

Does the contract/award note any restrictions to foreign persons? Identify location within documentation where restriction is: Page # Section #

Are there any other export control statements/clauses? Identify location within document of export control statements: Page # Section #

Is this project considered basic or applied research?

Will controlled select agents and/or toxins be used?³

If yes, please identify the controlled HHS and USDA Select Agents and/or Toxins to be used, and their quantities:	
Name of HHS and USDA Select Agent / Toxin (7CFR Part 331, 9 CFR Part 121, and 42 CFR Part 73)	Quantity

²You may ask Sponsored Programs for assistance in identifying this clause in the award terms.

³Reference 42 CFR <https://www.selectagents.gov/sat/list.htm>



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Research Personnel

Identify all persons (faculty, staff, students, and contractors) who will be working on this project, compensated or not, the organization/institution they represent, and their country of citizenship.

Name	Title	Associated Institution	Citizenship	RPS*

*Restricted Party Screening (RPS) will be conducted by the Director, Export Control Compliance.

Technology / Technical Data

Completely identify all items that are considered export controlled, restricted, proprietary, confidential, and/or controlled unclassified information (CUI).

Item Description	Type	Restriction Level	ECCN	Owned By



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Will any additional technology or technical data be purchased for this project?

If "yes", please identify the items to be purchased. (Include spec sheets, form [Export-F-002](#) from vendor(s), and other supporting documentation.)

Item Description	Quantity	Vendor / Supplier	Purchase Req#	EAR / ITAR Class

Will any of these items be exported out of U.S. territory?

Will the export include field research conducted in international waters? (if yes, see Appendix A)

Security

Identify the location where the items noted above will be kept secure

Building Name	Building Address	Room/Lab	Access Control Type

If access is controlled by keys, who has key copies:

Identify key number:

Identify how room access is controlled and monitored:

Is there any other security mechanism such as alarm or padlock? Is this area shared by other groups working on other projects?

For Technical Data, how will the items be marked or identified?

Are the technical data kept in an access restricted locked cabinet when not in use? (this includes removable hard drives that contain controlled, restricted, proprietary, confidential or sensitive data)

Please identify electronic devices where export controlled, restricted, proprietary, confidential or sensitive but unclassified items will be used/ stored: (e.g., laptops, tablets, external hard drives, tablets, etc.)

Device Make	Device Model	Device Serial #	Device Owner/User	UM-Owned



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International Travel

Will there be any international travel for this project?

If "yes", please identify authorized UM staff and their travel details. Please list trips individually for each person.

Traveler Name	Travel Begins	Travel Ends	Country Visiting	Taking UM Laptop	Purpose

Attestations

I have read the [University of Miami Export Control Policy](#) and understand the requirements and obligations outlined.

I certify that I am committed to the protection of controlled items in accordance with U.S. export regulations as well as items that are considered confidential, sensitive or proprietary, and that the information contained within the TCP form is accurate and truthful to the best of my knowledge and belief. I further certify that:

- a. Controlled/Sensitive items have been or will be identified for all participants prior to allowing access;
- b. All research personnel will complete the University's Collaborative Institutional Training Initiative (CITI) export control training (3 courses: Introduction Export Controls, Export Controls for Researchers Part I and II) and be informed of the security measures to be used in controlling access to project information prior to access;
- c. All research personnel will be adequately supervised by me, the Principal Investigator or the Co-Principal Investigator; and
- d. The TCP will be monitored and reviewed periodically to ensure that data remains accurate.

Principal Investigator Approved by:	<input style="width: 100%;" type="text"/>	Date: <input style="width: 80%;" type="text"/>
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Co-Principal Investigator Approved by:	<input style="width: 100%;" type="text"/>	Date: <input style="width: 80%;" type="text"/>
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Acknowledged By Department Chair Approved by:	<input style="width: 100%;" type="text"/>	Date: <input style="width: 80%;" type="text"/>
Title: <input style="width: 95%;" type="text"/>		



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Appendix A

Research in International Waters

Project Title:

This section is to be completed if your research will be conducted on research vessels outside of U.S. territorial waters. If deployment and retrieval of research equipment are to take place on separate cruises, please list each cruise individually and reference accordingly.

Cruise #	Vessel Name	Vessel ID	Country of Registration
Cruise Start Date	Port of Departure	Cruise End Date	Port of Return

Purpose of Cruise:

Will export-controlled technologies and/or technical data be used on this cruise?

If "yes", please identify the export-controlled items:

Item Description	Type	ECCN

Has the ECO applied for an export license for this activity? If "yes", please provide the license application numbers provided to you:

Will the ship comprise of U.S. Citizens/permanent residents only? If "no", what are the nationalities of the crew?

Will you have a confined cabin onboard the vessel to control access to the technical data?

What security measures will be taken to secure controlled technical data?

Will any of the items identified above be shipped via a freight forwarder or other agent?⁴ Shipment date:

Shipping agent name: Transit time:

Contact name and address of the destination to which the item(s) are being shipped:

Recipient name: Name of facility being shipped to:

Facility Address: City:

State: Zip Code:

Contact Telephone Number: Contact E-Mail Address:

Will the items be returned to the University of Miami? If "yes", which Campus:

Will the same shipping agent be used for the return? Expected transit arrival date:

If items are not returning to UM, please identify to whom the items are being sent to. Include name, address, phone number and e-mail address.

Use additional sheets as needed for as many cruises as will be conducted under this project

⁴All transit / customs records must be retained throughout the entire retention period.



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Appendix B

Export Control Non-Disclosure Statement for Research Personnel

Project Title:

I hereby certify that I have received, read, and understand the TCP for the project noted above. I agree to comply with the restrictions contained herein and with U.S. Government regulations as they pertain to export controlled information. I understand that I could be held personally liable if I unlawfully disclose, regardless of form or format, export controlled information to unauthorized persons. I further understand that I must attend export compliance training before working on any project that contains export controlled technologies or technical data, and that this training must be renewed every 2 years.

I hereby acknowledge and understand that any technical data or defense services related to defense articles on the U.S. Munitions List (USML) and/or Export administration Regulations (EAR), to which I have access or which is disclosed to me in the course of my (Choose applicable term): at the University of Miami (UM), are subject to export control under the International Traffic in Arms Regulations (ITAR)⁵ and/or the items and activities subject to the EAR⁶.

I hereby certify that such data will not be further disclosed, exported, or transferred in any manner to any foreign person, foreign owned company, or any foreign country without prior approval from University of Miami's Director, Export Control Compliance, who will obtain authorization from the U.S. Government.

If I inadvertently export to an unauthorized recipient any controlled items, materials, equipment, software, data, information or technology received during my term with the University of Miami, I will report such unauthorized transfer promptly to the University's Director, export Control Compliance, my immediate supervisor, and the Principal Investigator.

Signature: Date:

Department:

Phone: E-Mail:

Witnessed By Supervisor

Signature: Date:

Department:

Phone: E-Mail:

The original document is to be kept with the original TCP for which the department will follow the proper retention schedule

A copy of this form must be sent to the following:

1. Principal Investigator
2. Human Resources / Faculty Affairs Representative
3. General Counsel's Office
4. Director, Export Control Compliance

⁵Title 22, Code of Federal Regulations, Parts 120-130

⁶Title 15, Code of Federal Regulations, Parts 734.2 through 734.5