Smithsonian Astrophysical Observatory
Technology Control Plan

Date:[/ /]
Version
All sections are required.

Project Information Principal and Investigator
Project Title:

PI

First Name Last Name

Program Manager

First Name Last Name

Grant or Contract No.:

Export-Controlled Information and Instruments
List of export-controlled information and hardware in your lab: Include all controlled technology, technical data, and software. Include any planned international travel for meetings and conferences

Is there a sponsored research agreement, grant or contract involved? If yes, indicate number above.
YES NO

Is there a nondisclosure agreement or other agreement preceding the sponsored research agreement involved?
YES NO If yes, provide date and parties

Export-Controlled Information (continued)

Personnel with Access to Export-Controlled Information

Provide full name of all staff, visitors, and collaborators; include export control training date for all personnel.

First Name	Last Name	Date of EC Training

Security and Screening

Physical Security

Identify and describe physical security measures taken: Instruments and project information may require physical security measures such as dual-access controlled areas, secure doors, badges, and locked cabinets for ITAR/EAR data.

Computer and Data Storage Security

Describe where data is stored and steps to be taken to comply with computer & data storage security: ITAR/EAR project information should be protected. This may include additional password protection for all computers involved with the project. No access privileges to non-US collaborators without an export license. Electronic file transfers, data storage on information networks and emails of export-controlled need to be encrypted

Personnel Screening

Describe procedures for positive identification of all personnel on project: All personnel must be screened against restricted party lists to ensure sharing of information is allowable under the export control regulations. All personnel exposed to controlled data must have received Export-Control training. Changes in personnel must be reported to the Export Compliance Officer in SPP immediately for update to this TCP.

Security and Screening

Evaluation Dates of Technology Control Plan

Please provide dates of planned periodic review (minimum is once a year).

All TCPs must be reviewed by the PI on a periodic basis, at a minimum annually. This review includes ensuring that all sections of the TCP are up to date. Any changes to the control measures need to be reported. The Export Control Specialist will follow up with the PI on these dates to receive TCP self-audit evaluation results.

Signatures / Approval

Principal Investigator signature

PI Name _____ Date _____

PM Name _____ Date _____

Sponsored Programs and Procurement approval

Natascha Finnerty, Export Compliance Officer _____ Date _____

Upon completion of the TCP, the PI and Project Manager must sign and furnish a copy to the Export Compliance Officer in SPP, and the Divisional/Department Administrator. Upon approval of the TCP by the Export Compliance Officer, the PI may proceed with the handling of export-controlled information.

All sections of the TCP must be completed. If there are any questions while completing the TCP, please contact the Export Control Officer in SSP.

Natascha Finnerty, Export Compliance Officer
Sponsored Programs and Procurement
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