

GRAND VALLEY STATE UNIVERSITY

TECHNOLOGY CONTROL PLAN (TCP)

RESEARCH ADMINISTRATION 049 James H. Zumberge 1 Campus Drive Allendale, MI 49401 616-331-2281 exportcontrols@gvsu.edu

Part I: Principal Investigator and Project Information

Principal Investigator

PI First Name

PI Last Name

PI Email

PI Department

PI Office Phone

Cell Phone

Project Information:

Project start date: mm/dd/yyyy

Project completion date mm/dd/yyyy

Project Name:

Is a sponsored research agreement/contract or MTA involved?

Yes

No

If yes, name second party:

Is a non-disclosure or custody agreement involved?

Yes

No

If yes, name second party:

Part II: Project Description:

Provide a brief overview of the project.

All export controlled materials must be adequately segregated and protected from disclosure to unauthorized persons. Below, describe the measure that will be taken to take custody of, mark, segregate, protect and dispose of all export controlled equipment, technology, work products and acquired data.

Controlled Materials:

Part III: Physical Security

Location:

Item Marking: Export **controlled** materials must be clearly **identified** and marked as such. Explain how you will do this.

Safe Storage: When not in use, how will all export controlled materials be secured.

Part IV: Information Security

Appropriate measure must be taken to secure all manner of exchange of export controlled information-particularly electronic communications and databases. Such measure may include user ID, password control, firewall protection or approved encryption technology. Database access may be managed via a Virtual Private Network (VPN). All email communications must be transmitted only through an e-mail provider whose servers are located in the U.S. and managed solely by U.S. citizens.

Conversation Security: Discuss what measure you will take to ensure that all discussions of controlled information are conducted in secure areas by authorized personnel.

IT Security Plan: Describe the information technology security for electronic data and other export controlled information

Transmission Protocols: Describe whether export controlled information will be transmitted electronically or physically and the protocols for secure transmission.

Part V: Training and Awareness

Prior to beginning work, all personnel with access to controlled items or information on this project must be listed in Part IX of this Technology Control Plan and complete the Responsible Conduct of Research Training, industry Export Training Module, offered through Epigeum. This training familiarize personnel with the basics of the export control regulation regime in the United States, required safeguards and restrictions place on export controlled materials, and the potential penalties for violating export regulations. Principal Investigators are responsible for ensuring that all personnel receive this training. See the Grand Valley State University Export Controls web site for information on Epigeum and instructions regarding registering for an Epigeum account.

Part VI: Assessment

As a critical component of GVSU ongoing compliance monitoring, self-assessment should be performed periodically and any relevant findings reported to the Export Controls Officer. The Export Controls Officer may also conduct periodic evaluations and/or training to monitor compliance of technology control plan procedures. Any changes to the approved procedures or personnel having access to controlled information covered under this TCP must be cleared in advance by the Export Controls Officer.

Part VII: International Travel

Will any international travel be associated with the project? If so, describe who will travel, where, purpose of the trip and duration.

Part VIII: Return or Destroy Procedures at the End of the Project:

Describe your plan for returning or destroying export controlled materials or data devcies upon completion or termination of the project.

Part IX: Personnel Certification:

Principal Investigator: As principal investigator, I have developed this Technology Control Plan to adequately safeguard the export controlled materials and/or information that will be used or developed during this research project. I attest to the veracity of this plan and understand that I am responsible to ensure that this research project is carried out in accordance with this plan.

PI First Name	PI Last Name	Citizenship	Training completion date:
Title	Department	Signature Field	Date mm/dd/yyyy

Department Chair: I am aware that the project described above involves materials and/or information that are subject to the Export Control Regulations. The Technology Control Plan described in this document protects all controlled materials an/or information to my satisfaction.

Department Chair First Name	Department Chair Last Name	Citizenship	
Title	Department	Signature Field	Date mm/dd/yyyy

College Dean: I am aware that the project described above involves materials and/or information that are subject to the Export Control Regulations. The Technology Control Plan described in this document protects all controlled materials an/or information to my satisfaction.

Dean First Name	Dean Last Name	Citizenship	
Title	Department		Date mm/dd/yyyy

IT Certification: As IT Manager for this research project, I have provided assistance in developing safeguards that will adequately protect both the storage and transmission of export controlled information by electronic means.

IT Manager First Name	IT Manager Chair Last Name	Citizenship	Training completion date:
Title	Department	Signature Field	Date mm/dd/yyyy

Additional Investigator: I hereby certify that I have read this Technology Control Plan and have received a copy. I understand and agree to follow the procedures outlined in the plan. I understand that I could be held personally liable if I unlawfully disclose, regardless of format, export controlled information to unauthorized persons.

AI First Name	AI Last Name	Citizenship	Training completion date:
Title	Department	Signature Field	Date mm/dd/yyyy

Export Control Information: (TO BE COMPLETED BY EXPORT CONTROL OFFICER)

Controlling regulation: EAR ITAR OTHER

Description of controlled technology:

Contract/Grant Award Restrictions;

Export Ctonrol Review committee reviewed and approved this Technology Control Plan on:

Approval of Export Control Officer:

ECO First Name	ECO Chair Last Name	Title
Department	Office phone:	Email
Signature Field	Date mm/dd/yyyy	