Smithsonian Astrophysical Observatory
Technology Control Plan

All sections are required.

Principal Investigator and Project Information

First Name

Last Name

Email

Telephone

Project Title:

GC1 Number:

Export-Controlled Information
List of export-controlled information

Include all controlled technology, technical data, and software

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

Is there a sponsored research agreement or contract involved?

YES   NO

Is there a nondisclosure agreement or other agreement preceding the sponsored research agreement involved?

YES   NO

Security and Screening

Physical Security
Identify and describe physical security measures taken
> Project information may require physical security measures such as limited access areas, secure doors, badges, and locked cabinets.

Computer and Data Storage Security
Describe all steps to be taken to comply with computer & data storage security.
> Project information should be protected using the requirements set out in the for data classified as "confidential." This may include password protection for all computers involved with the project. Electronic file transfers and data storage of export-controlled information networks may 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 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

Project Manager signature

_____   _____
PM Name   Date

Sponsored Programs and Procurement approval

_____   _____
Natascha Finnerty, Export Compliance Officer   Date

Upon completion of the TCP, the PI must sign and furnish a copy to the Export Compliance Officer in SPP, and the Department Administrator. Upon approval of the TCP by the Office of Sponsored Programs, 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 Specialist in aSP.

Natascha Finnerty, Export Compliance Officer
Sponsored Programs and Procurement
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