

Complete and Route Technology Control Plans (TCP)

After the Export Control Office (ECO) determines a need for and creates a Technology Control Plan (TCP) from an existing PAF or Unfunded Agreement (UFA), all personnel with edit rights to the TCP will receive an email notification to complete additional required information in the eResearch Proposal Management (eRPM) system. See [Technology Control Plans & Licenses](#) for more information about TCPs.

This procedure includes instructions to [Complete the TCP](#) and [Route to the Export Control Office](#).

Complete the TCP

Technology Control Plan Notification Email

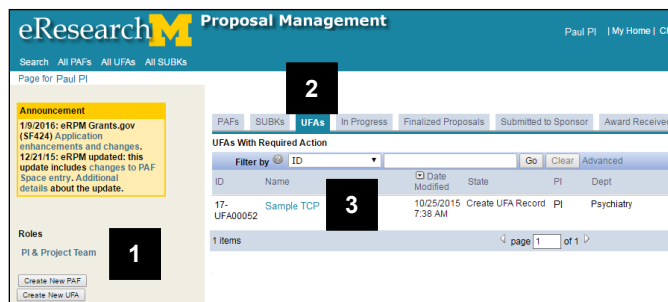
The email displays basic TCP information, such as the ID, title, and who received the email, etc.

1. Click the link in the email from the Export Control Office to access the TCP (not shown here).

Note: If you are not authenticated to the eRPM system, you may need to log in using your username and password.

OR

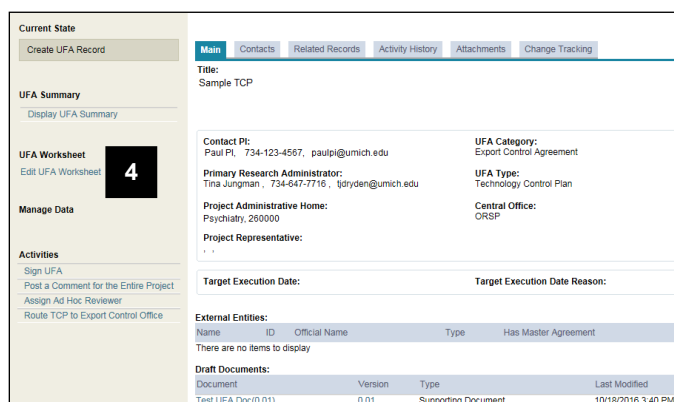
Home Workspace



If you're already logged into eRPM,

1. Verify that the **PI & Project Team** role is selected.
2. Click the **UFAs** tab.
3. Click the name of the agreement in the **UFAs with Required Action** list.

UFA Workspace



The UFA will be in the state of **Create UFA Record**.

4. Click **Edit UFA Worksheet**.

Introduction

5. Edit the **Project Title**, if needed.
6. Click **Continue**.

Personnel

7. Read the instructions for adding personnel.
8. Click **Add** or **Update** as needed. (Refer to 2) **Enter Personnel** on the [UFA Quick Reference](#))

Notes:

- At least one PI or Responsible Faculty Member and one Administrative Contact are required.
 - “PIs or Responsible Faculty Members”, “Other Investigators or Participants”, and Administrative Contacts must have a **Role**. Click **Update** to select, if needed.
 - “PIs or Responsible Faculty Members” and “Other Investigators or Participants” must have an **Appointment**. Click **Add Appointment** to select, if needed.
9. Click **Continue**.

Technology Control Plan Agreement Details

eResearch **M** Proposal Management Edit: UFA- 17-UFA00052

Save | Edit | Hide/Show Errors | Print... | Jump To: Technology Control Plan Agreement Details | Continue >>

Technology Control Plan Agreement Details

"Technology" includes, but is not limited to, certain types of:

- Equipment (including systems and components)
- Software (source/object code)
- Materials and substances
- Services (e.g., training, instruction)
- Data or information about an item or material
- Funds (e.g., payments)

Key Personnel includes all Personnel with the roles of "PI or Responsible Faculty Member" or "Other Investigator or Participant."

Do you have any foreign nationals on this project (faculty, staff, students, etc.)? *

☐ Yes
☒ No
☐ Unsure
Clear

Please list every Country of Citizenship, or Permanent Residency, for all Key Personnel (Type USA for United States): *

Name	Country	PI or Responsible Faculty Member
Update Paul PI		
Update Amy Franklin		Other Investigator or Participant

Project Administrative Home: *
Psychiatry Department | Select | Clear

Agreement Start Date:
Agreement End Date:
Agreement Period:

Is this agreement related to an existing sponsored project? *

☐ Yes ☒ No Clear

Is this agreement related to another unfunded agreement? *

☐ Yes ☒ No Clear

External Entities:

Add

UFA External Entity	Role	ID	Official Name	External Entity	Not Found	Submit Request to Sponsored Programs	Notes
There are no items to display							

External Entity Contacts:

Add

Name	Email	Street Address	Telephone	Fax
There are no items to display				

UFA Documents:

Add

Document	Version	Last Modified	Document Type	Document Type
There are no items to display				

Save | Edit | Hide/Show Errors | Print... | Jump To: Technology Control Plan Agreement Details | Continue >>

- Select the applicable radio button regarding **foreign nationals**.
- Click **Update** to select **Country of Citizenship, or Permanent Residency, for all Key Personnel**.
- Enter or **Add** the Country, and click **OK**.
- Click **Select** to choose the **Project Administrative Home** department.
- Enter the **Agreement Start Date, End Date and Period**, if needed.
- Verify or answer the *required questions. Is this agreement related to
 - an existing sponsored project?
 - another unfunded agreement?
 If you selected "Yes", then enter the related PAF or UFA ID.
- Review and update the remaining information, as needed.
- Click **Continue**.

Project and Controlled Materials

18 Provide a brief overview of the project *

19 Description of each export controlled item (e.g. equipment, materials, technology, information, or services) that will be used or generated in the research, including, for example:
Items from sponsor; the sponsor is responsible for identifying any item it sends as export controlled and providing the export control classification.
Items purchased from a vendor; the vendor is responsible for identifying any time you purchase as export controlled and provide the export control classification.
Items you create as a result of the research (deliverables); the PI, with help of the Export Control Office, will be responsible for classifying any export controlled deliverables.

20 Export Control Classification:
What is the Controlling Regulation (select all that apply)?
☐ EAR ECON (e.g. 50002)
☐ ITAR
☐ OFAC
☐ NRC
☐ DOE
☐ Other

21 Continue >>

18. Enter a **brief overview of the project**.
19. Enter a **description of each export controlled item that will be used**.
20. Check the boxes for all **Controlling Regulations** that apply and enter any **additional details**, if known.
21. Click **Continue**.

Security Measures

22 For each Export Controlled item described, provide the following information:
Does your lab, or department, have an approved IT and/or Export Control Security Plan in place?
☒ Yes
☐ No
[Clear](#)

23 Please upload the IT and/or Export Control Security Plan: *

Add	Document	Version	Last Modified	Type	Delete
Update	test Supported(0.01)	0.01	10/19/2016 10:17 AM	Supporting Document	Delete

24 Receipt and Transmission Security
Receipt from third party, e.g., sponsor, vendor, etc.
Describe where/when you will get these items, how they will be delivered - electronically, physically (e.g., mail, hand delivery, courier) - and what security measures will be used.
☐ Receipt Protocols are Not Applicable
Transmission/Transport/shipment by research team:
If you transmit electronic export controlled items or transport physical EC items (within or out of U-M), describe where/when you will transmit these items, how they will be transmitted - electronically, physically (e.g., mail, hand delivery, courier) - and what security measures will be used.
☐ Transmission Protocols are Not Applicable

25 Physical Security
Identify physical location(s) (e.g., building name and room # or lab) that will be used to access, use, share, and/or store each export controlled item and any computer/IT systems used for that purpose.
Location(s): *

Add	Bldg	Room	Dept ID	Dept Name	Physical Security Comments
There are no items to display					

22. Select the **Yes** or **No** radio button regarding a **Security Plan**.
23. If you selected "Yes", click **Add** to upload or **Update** the IT and/or Export Control Security Plan.

24. Answer the **Receipt and Transmission Security** questions; enter text or check the box if Not Applicable.
25. Click **Add** to select physical locations used.
26. **Select** and enter the **Room Detail** information.
27. Click **OK** or **OK and Add Another** for additional locations.

26 Requested Room/Buildg: Select

Room Details:
Override DeptID, if above dept is incorrect: Select

* Describe how this location will be physically secured from access by unauthorized persons, e.g., locks, key restrictions, access monitoring, etc.

27

* Required

Security Measures, continued

IT Manager
Specify the IT Manager responsible for assisting you in developing and maintaining electronic safeguards.
Select: [Select] [Create New User]

IT Security
Describe the information technology (IT) security measures that will be used to prevent unauthorized access to electronic export controlled information and to the computers and IT systems on which that info is accessed, used, shared, and/or stored.
[Text Area]

☐ IT Security is Not Applicable (i.e., no export controlled electronic information)

Conversation Security
If you will be discussing any export controlled information with others here at U-M or outside of U-M, describe how you will ensure conversations are heard only by authorized persons.
[Text Area]

☐ Conversation Security is Not Applicable (no discussions will occur or are possible, e.g., export controlled information is executable code)

Marking of Export Controlled Materials
If you receive export controlled items from a third party, e.g., sponsor or vendor, that third party must mark it as export controlled and you must maintain those markings. If you receive materials from a third party that you believe are export controlled but are unmarked, contact the sender.
If you generate or send export controlled items, you must mark them appropriately. Describe the content and placement of markings you will use on export controlled items, both electronic information and physical items.*
[Text Area]

Disposing of export controlled items
Once you are done using the export control items for this project, you will need to dispose of those items in an appropriate manner, i.e., return to the original owner, destroy using approved protocols, use them up, or ship them out, e.g., incorporate it into the research product.
Describe your plan for securely disposing of each export controlled item described above [Project/EC Materials Description] upon completion or termination of the project.*
[Text Area]

International Travel
Researchers who travel internationally must (1) register with the U-M Travel Registry, and (2) contact the Export Control Office (exportcontrols@umich.edu or (734) 615-0672) in advance of your trip to make sure that you do not need an export license for any hardware, software, data and other equipment you plan to take.
Will any international travel be associated with the project?*

☐ Yes
☐ No
Clear

Save | Exit | Hide/Show Errors | Print... | Jump To: Security Measures | Continue >>

28. Click **Select** to specify the IT Manager.

Note: If you cannot find your desired IT Manager, click **Create New User**.

29. Answer the remaining questions for

- **IT Security**
- **Conversation Security**
- **Marking of Export Controlled Materials***
- **Disposing of export controlled items***

30. Select **Yes** or **No** if **International Travel** will be associated with the project.

31. If you selected “**Yes**”, click **Add** to enter information.

32. Enter the trip information for each trip.

33. Click **OK** or **OK and Add Another** for additional trips.

Add UFA_TCP_TRIP

Destination Country: [Text Field] [Add]

Country: [Text Field]
There are no items to display

Start Date: [Text Field] [Date Icon]
End Date: [Text Field] [Date Icon]

Key Personnel Traveler(s):
[Add]
Name Role
There are no items to display

Purpose of Trip: [Text Area]

* Required [OK] [OK and Add Another] [Cancel]

34. Click **Continue**.

End of UFA Worksheet

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Save | Exit | Hide/Show Errors | Print... | Jump To: End of UFA Worksheet | Finish

End of UFA Worksheet

Next Steps:

- Prior to execution of the agreement, the Contact PI must sign the UFA/Conflict of Interest Statement
- The Contact PI or Primary Research Administrator runs the **Project Team Route UFA** activity

Save | Exit | Hide/Show Errors | Print... | Jump To: End of UFA Worksheet | Finish

35. Click **Finish**.

Route to Export Control Office (ECO)

Upon completion, *only* the PI or Primary Research Administrator can submit the TCP to the ECO using the **Route to Export Control Office** activity. After completing this activity:

- The routing is recorded in the **Recent Activity** list on the UFA Workspace.
- The state changes to **Export Control Office Review**.

UFA Workspace

The screenshot shows the 'UFA Workspace' for a 'Sample TCP' (17-UFA00052). The left sidebar contains a 'Current State' section with 'Create UFA Record' and 'UFA Summary'. Below this is the 'UFA Worksheet' section with 'Edit UFA Worksheet'. The 'Activities' section is expanded, showing a list of activities: 'Sign UFA', 'Post a Comment for the Entire Project', 'Assign Ad Hoc Reviewer', and 'Route TCP to Export Control Office'. A black box with the number '1' is placed over the 'Route TCP to Export Control Office' activity. The main content area displays the 'Title' as 'Sample TCP' and 'UFA #' as '17-UFA00052'. It also shows 'Contact PI' (Paul PI, 734-123-4567, paulpi@umich.edu), 'Primary Research Administrator' (Tina Jungman, 734-647-7716, tjungman@umich.edu), 'Project Administrative Home' (Psychiatry Department, 260000), 'Project Representative', 'UFA Category' (Export Control Agreement), 'UFA Type' (Technology Control Plan), and 'Central Office' (ORSP). There are sections for 'Target Execution Date', 'External Entities', 'Draft Documents', and 'Recent Activity'.

1. Click **Route TCP to Export Control Office** from the Activities menu of the UFA Workspace.

Route TCP to Export Control Office Window

The screenshot shows a window titled 'Route TCP to Export Control Office'. The main content area displays 'Sample TCP (17-UFA00052)' and instructions: 'Click OK to route this TCP to the Export Control Office. Click CANCEL to cancel this activity and close this window.' At the bottom right, there are 'OK' and 'Cancel' buttons. A black box with the number '2' is placed over the 'OK' button.

2. Click **OK**.

Note: Error checking will run to look for any errors or missing required fields. If any errors are found, you can click the link to jump to the section that needs to be corrected.