The Export Control Office (ECO) determines if there is a need for a Technology Control Plan (TCP). They can create a new 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. Once the TCP has been created, additional activities are available in the UFA workspace to facilitate negotiation and activation of the agreement. Changes can also be made after the agreement has been activated. See Technology Control Plans & Licenses for more information about TCPs.

This procedure includes instructions to Create a TCP | Review and prepare TCP for Signature | Activate TCP

Create a TCP

The ECO can create a TCP from their Home Workspace or from a PAF or UFA. This procedure shows creating a TCP from the Home Workspace. If the TCP is created from a PAF or UFA, it will automatically be sent to the PI/Project Team for their completion. Otherwise, after creating the TCP, the ECO Notify Project Team to Complete TCP activity must be executed.

Home Workspace

1. Verify that the Export Control role is selected.
2. Click Create New TCP.
3. Enter a Project Title.
4. Click Continue.

TCP Introduction

1. Verify that the Export Control role is selected.
2. Click Create New TCP.
3. Enter a Project Title.
4. Click Continue.
Personnel

5. Read the instructions for adding Personnel.

6. Click Add or Update as needed.

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.

7. Click Continue.

Technology Control Plan Agreement Details

8. Complete the Technology Control Plan Agreement Details section, answering any questions you can.

9. Click Continue, located at the top or bottom of the form.
Describe Project and Controlled Technology

10. Complete the Describe Project and Controlled Technology section, answering any questions you can.

11. Check the boxes for all Export Control Classifications that apply and enter any additional details, if known.

12. Enter a Summary of Applicable Export Controls.

13. Click Continue.

Security Measures


15. Click Continue, located at the top or bottom of the form.

End of UFA Worksheet

16. Click Finish once you’ve reached the End of UFA Worksheet.
17. Click **ECO Notify Project Team to Complete TCP** from the Activities menu of the UFA Workspace.

18. Click **OK** to notify UFA Personnel to complete the TCP.

The PI/Project Team will receive a notification email to complete the TCP.
Review, Request Changes, and Prepare TCP for Signature

After the Project Team submits the TCP back to the ECO, the state of the TCP will be **Export Control Review**. The ECO can review, request changes if needed, and send for signature.

**Request Changes**

**Home Workspace**

1. Click the **ECA Inbox** tab.
2. Click the name of the applicable Technology Control Plan.

**UFA Workspace**

3. Click **Display TCP Summary** or **Edit UFA Worksheet** to review the information added by the PI/Project Team.
4. After reviewing, click **OK** or **Exit** to return to the UFA Workspace (not shown).
5. If changes are needed, click **ECO Request TCP Changes** from the Activities menu.
6. Enter **Comments** describing the changes.
7. Click **OK**.

**Note:** The TCP will be returned to the PI/Project Team to review the requested changes.
Prepare for Signature

After the TCP is complete and any requested changes are addressed, the ECO can prepare the TCP for signature by all Project Team members or UFA Personnel. The state of the TCP will be Export Control Office Review.

UFA Workspace

8. Click **Send for Signature** from the Activities menu of the UFA Workspace.

9. Click **OK**.

**Note:** The PI/Project Team will be notified to sign the TCP.
Activate TCP

The TCP will be routed to the ECO after Research Personnel, IT Manager(s) if specified, and Units signoff. Then, the ECO will finalize the agreement. The state of the TCP will be Export Control Office Finalizing.

UFA Workspace

1. Click Activate TCP from the Activities menu in the UFA workspace.

2. Enter the ECRC Approval Date.

3. (Optional) Enter Comments.

4. Click OK.

Note: The TCP will be activated, and the final document will be sent to Research Personnel, Primary Research Administrator, IT Manager(s) and Unit Contact(s).