

## 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

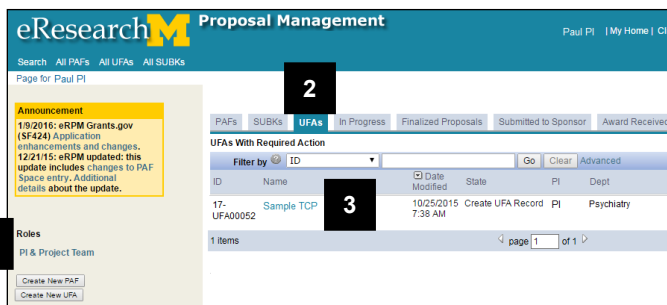
The email displays basic TCP information, such as the ID, title, and who received the email, etc.

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

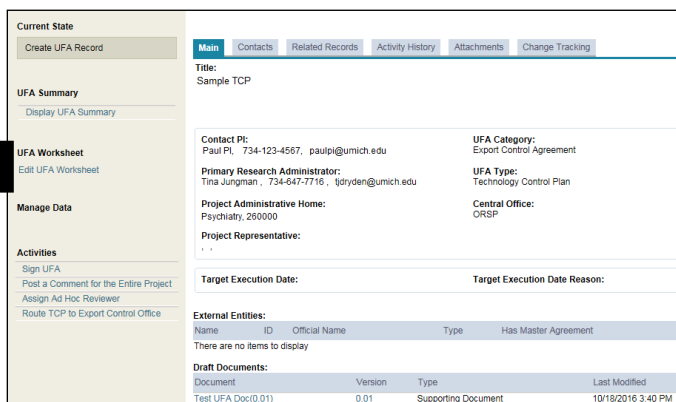
#### Home Workspace



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 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**

**6**

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

Personnel

**7**

**8**

**9**

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:

- List all personnel (including students and IT staff) who will have access to the export controlled technology covered by this TCP.
  - 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

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

Yes  
 No  
 Unsure  
Clear

**11** 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

**13** Project Administrative Home: \*

Psychiatry Department  Select Clear

**14** Agreement Start Date:

Agreement End Date:

Agreement Period:

**15** Is this agreement related to an existing sponsored project? \*

Yes  No Clear

Is this agreement related to another unfunded agreement? \*

Yes  No Clear

**16** External Entities:

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:

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

UFA Documents:

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

**17**

10. Select the applicable radio button regarding **foreign nationals**.
11. Click **Update** to select **Country of Citizenship, or Permanent Residency, for all Research Personnel**.
12. Enter or **Add** the Country, and click **OK**.
13. Click **Select** to choose the **Project Administrative Home** department.
14. Enter the **Agreement Start Date, End Date** and **Period**.
15. 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.
16. Review and update the remaining information, as needed.
17. 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 EOCN (e.g. 5D002)

ITAR

OFAC

NRC

DOE

Other

**21** Continue >>

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

### Security Measures

**22** Does your lab, or department, have an approved IT and/or Export Control Security Plan in place?

Yes

No

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

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

**24** Receipt and Transmission Security

Receipt from third party, e.g., sponsor, vendor, etc. Describe where/from whom 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/ship physical EC items (within or out of U-M), describe where/to whom 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): \*

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

**26** Add PRPSL\_Room Detail

Requested Room/Bldg:

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

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

**27** \* Required

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.

Security Measures, continued

The screenshot shows a multi-step form for security measures. Callout 28 points to the 'IT Manager' selection field. Callout 29 points to the 'IT Security' text area. Callout 30 points to the 'Conversation Security' text area. Callout 31 points to the 'Marking of Export Controlled Materials' text area. Callout 32 points to the 'Disposing of export controlled items' text area. Callout 33 points to the 'International Travel' radio buttons. Callout 34 points to the 'Destination Country' field in the 'Add UFA\_TCP\_TRIP' dialog. Callout 35 points to the 'Country' dropdown in the same dialog. Callout 36 points to the 'Purpose of Trip' text area. Callout 37 points to the 'Continue' button in the dialog.

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

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

29. Answer the **IT Security** question. Work with your IT Manager to develop and implement an IT Security Plan.

30. Answer the **Conversation Security** question.

31. Answer the **Marking of Export Controlled Materials** question. Marking of electronic information should be part of your IT Security Plan.

32. Answer the **Disposing of export controlled items** question. Disposing of electronic information should be part of your IT Security Plan.

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

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

35. Enter the trip information for each trip.

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

37. Click **Continue**.

End of UFA Worksheet

The screenshot shows the final summary page of the UFA worksheet. Callout 38 points to the 'Next Steps' section, which lists: 'Prior to execution of the agreement, the Contact PI must sign the UFA/Conflict of Interest Statement' and 'The Contact PI or Primary Research Administrator runs the Project Team Route UFA activity'.

38. 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 interface. On the left, a navigation menu includes 'Current State', 'UFA Summary', 'UFA Worksheet', 'Manage Data', and 'Activities'. Under 'Activities', the link 'Route TCP to Export Control Office' is highlighted with a black box containing the number '1'. The main content area displays details for the UFA, including contact information for Paul PI and Tina Jungman, project administrative details, and a table of draft documents.

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

## Route TCP to Export Control Office Window

The dialog window is titled 'Route TCP to Export Control Office'. It contains the following text: 'Sample TCP ( 17-UFA00052 )', 'Click OK to route this TCP to the Export Control Office.', and 'Click CANCEL to cancel this activity and close this window.' At the bottom right, there are two buttons: 'OK' and 'Cancel'. A black box with the number '2' highlights 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.