

Use of Technology Control Plans, Briefing & Certifications, Letter of Agreement, and Biologic Access Control Plans

Instrument	Description	Applicability	Additional Notes
Technology Control Plan (TCP)	<p>TCP is used to safeguard against unauthorized access or use of export-controlled information, items, technology, or software. The specifics of a TCP are tailored to the activity and technology under consideration:</p> <ul style="list-style-type: none"> • Identification of the export-controlled activity or project. • Information on the controlled item(s) including the export control classification number or category and the reasons for control. • Security measures, including information technology and physical security plans. • Authorized personnel. • Personnel screening procedures and training. • Monitoring and evaluation. 	<p>Case-by-case determination. The list below is not exhaustive but serves to illustrate instances when a TCP is necessary.</p> <ul style="list-style-type: none"> • Where there are restrictions on publication or dissemination of research results, and the technology/technical information is classified as higher than EAR99. • Sponsor-imposed restrictions on who can participate in a research project based on nationality. • Export license or other authorization that comes with conditions. • A sponsor or investigator scopes out a project as export controlled. • Research involves accessing, handling, receiving, using, or generating Controlled Unclassified Information (CUI). • Research or activity involves interacting with individuals from restricted lists (e.g., the Entity List). 	<ul style="list-style-type: none"> • When a TCP is necessary, ECO collaborates with the Principal Investigator (PI), and the relevant departmental unit to develop a control plan. • TCP is signed by responsible PI, Department/Unit head, Dean of Research or equivalent and AVP RCRA. • All authorized personnel sign a certification attesting that they have been briefed on the requirements/provisions of the TCP.
Briefing & Attestation ("TCP Lite")	<p>Used when an activity involves restrictive research terms and conditions or other requirements that may not warrant a full-blown TCP. The Briefing and Certification serves to notify investigators of the restrictions / requirements and any applicable compliance obligations.</p>	<p>Case by case determination. Examples of when a Briefing and Certification is necessary include:</p> <ul style="list-style-type: none"> • When there are restrictions on publication or dissemination of research results, the technology is classified as EAR99 (low level control). • PI has current or pending DoD or NASA funding and will be hosting foreign persons (international visitors) • Hosting international visitors affiliated with an entity of the Unverified List, (or other lower risk lists) provided that no exports are involved. 	<ul style="list-style-type: none"> • Briefing and Certification is signed by responsible PI, Department/Unit head, Dean of Research or equivalent, and AVP RCRA. • Visitors (or other individuals) sign a certification attesting that they have been briefed of the requirements/provisions of the Briefing and Attestation.
Letter of Agreement (LOA)	<p>An agreement between Emory and another entity that serves to document the scope of a project or activity, and the undertakings of each party.</p>	<p>LOAs are necessary when an activity involves an individual located outside Emory (usually at a foreign location) and Emory does not have an existing agreement or contract with the entity that the individual's entity of affiliation. Examples include remote student interns and remote supervision of students.</p>	<ul style="list-style-type: none"> • LOA is signed between Emory's responsible department and the corresponding department at the other part. • Department/Unit head, Faculty Member, and AVP RCRA. • Counter signed by other department head, and PI. And student (or other individual)
Biologic Access Control Plan (BACP)	<p>A Biological Access Control Plan is like a TCP but is developed to prevent unauthorized access to and export of controlled biologics</p>	<p>Although the mere use or operation of controlled biological agent, toxin or chemical in research does not in itself constitute a deemed export, sometimes the institution supplying the biologic requires that access control plan be put in place before Emory receives the material</p>	<p>BACP is signed by responsible PI, Department/Unit head, Dean of Research or equivalent and AVP RCRA.</p>