



NORTHWESTERN  
UNIVERSITY

**NORTHWESTERN UNIVERSITY**  
**OFFICE FOR EXPORT CONTROLS COMPLIANCE**  
**TECHNOLOGY CONTROL PLAN**

This Technology Control Plan (TCP) is intended to ensure compliance with the U.S. export control regulations, including but not limited to the Department of State's International Traffic in Arms Regulations (ITAR) and the Department of Commerce's Export Administration Regulations (EAR). This document outlines a plan to provide for the secure handling of export-controlled items, including restricting access, when necessary, to such items by Foreign Nationals.

Questions regarding this TCP should be directed to Ann K. Adams, Senior Associate Vice President for Research, at [a-adams@northwestern.edu](mailto:a-adams@northwestern.edu).

Background: The US export control regulations restrict both the physical export of certain controlled items and the transfer of those items to Foreign Nationals, i.e. a person who is not a U.S. citizen nor a Green Card holder nor granted status as a "protected person" as defined under U.S.C. 1324b(a)(3). Items which are controlled under the export control regulations cannot be so transferred without an appropriate exception or license.

Please provide the following information and certify that you will implement and enforce this TCP by signing the document at the end:

1. Responsible Party (Principal Investigator or other employee of Northwestern that will oversee the item subject to this TCP): \_\_\_\_\_
2. Contact Information of Responsible Party:

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

Address (site where the subject of this TCP will be used/stored):

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3. Alternate Contact (lab manager/administrator):

Name: \_\_\_\_\_

Telephone: \_\_\_\_\_

Email: \_\_\_\_\_

4. Description of item subject to this TCP:

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5. Description of the export controls that apply to this item (***to be completed by the Office for Export Controls Compliance***):

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6. Security measures (briefly describe the steps to be taken to ensure that the item is not improperly disclosed/shared with a Foreign National):

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7. Parties authorized to access the item subject to this TCP:

<u>Person</u>	<u>Citizenship status</u>
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- 1.
- 2.
- 3.

4.

5.

6. Disposition (briefly describe how the item subject to this TCP will be disposed of or otherwise handled at the conclusion of this project):

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**By signing below, I hereby certify that I have read and understand this TCP and accept responsibility for ensuring that the item subject to this TCP will be properly handled while in my possession. I further understand that federal law restricts access to certain items, technology, and technical data by Foreign Nationals.**

\_\_\_\_\_

Date: \_\_\_\_\_

[Principal Investigator or Responsible Party]

cc: Department Chair  
Research Dean  
Director, Office for Export Controls Compliance