Technology Control Plans

What is a technology control plan (TCP)?
A technology control plan, or “TCP”, is a document that outlines the measures that a researcher must follow in order to appropriately protect information and technology that is subject to U.S. export control laws and regulations.

Is a TCP required for my research project?
If a research project has any restrictions on publication or personnel access, a TCP will be required. For example, if a sponsor has approval rights prior to dissemination (except for limited rights of approval to protect proprietary information), or limits access to a research project based on the nationality of any member of the research team, the project is subject to the export control regulations. In this case, the research team must appropriately protect controlled information and/or technology from inappropriate disclosure to foreign nationals in the United States, or shipment of such information and technology abroad. TCPs may be required in other situations as well.

What is USC’s process for implementing TCP’s?
If a sponsor mandates restrictions on publication or access on a sponsored project, the investigator must submit an exception request to conduct the project. In order to adhere to these restrictions, the university may require the investigator to implement a TCP to appropriately protect restricted items or information.

Do I have any input into the measures that will be implemented through the TCP?
Yes. The researcher and the relevant central administrative offices will collaborate to create a TCP that allows restricted research projects to proceed in a manner that complies with applicable laws and university policy. The researcher is often the person best positioned to understand the unique needs of a research project and is intimately involved in devising appropriate measures to adhere to applicable restrictions.

What are some common measures that might make their way into a TCP?
Although the measures that are implemented are case-specific and depend on the nature of the restriction and the type of research being performed, some measures commonly implemented include:

- Physical security controls that will be used to prevent unauthorized access to secured areas and to protect project-related items and information
- Information security controls that will be used to prevent unauthorized access to project-related information, including drives and devices that will be used to store restricted information
- End of project security measures
- Processes for reporting violations

I’d like to learn more about TCP’s and export controls. Where can I find additional information?
Additional information about Technology Control Plans and export controls can be found on the Office of Culture, Ethics and Compliance website, [https://ooc.usc.edu/international-activity/research/](https://ooc.usc.edu/international-activity/research/). You can also view USC’s International Collaborations and Export Controls policy. For questions, please email Emily Pender, Manager of Export Controls, at epender@usc.edu.