

## TCP AUDIT QUESTIONNAIRE

<b>Audit Date:</b>	
<b>UECP Auditor(s):</b>	
<b>Audit Location:</b>	

<b>Lead Principal Investigator (PI):</b>		
<b>PI Department:</b>		
<b>Project Title:</b>		
<b>Sponsor:</b>		
<b>Est. Project End Date:</b>		<b>FRS Acct #:</b>

<b>EAR/ITAR Classification(s):</b>	
<b>Original TCP Signed:</b>	
<b>Amendment(s):</b>	

<b>Auditee:</b>	
<b>Auditee Name:</b>	
<b>Auditee Phone / Email:</b>	
<b>The Auditee has signed the TCP?</b>	
<b>The Auditee has/had read and been briefed on the TCP?</b>	
<b>The Auditee has a current copy of the TCP?</b>	

↪ **Are there any changes to scope of work or other requirements for this project not captured in the TCP or TCP Amendments?**    Yes    No

<b>Explain the Changes:</b>

↪ **Has the anticipated end date changed?**    Yes    No

<b>Detail the New Anticipated End Date for this project:</b>		
<b>New End Date</b>	<b>Extension or New Phase</b>	<b>New Award (Y/N)</b>

<b>Non-Disclosure Agreements (NDAs):</b>	<b>Y / N</b>
Are there any NDAs associated with this Project?	
If "Yes," has the NDA been signed yearly?	
If there is a new award for this research, will an NDA be required?	

↪ **Are there any changes to project personnel?**    Yes    No

<b>Current Project Personnel Authorized:</b>	

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<b>Authorized Non-U.S. Project Personnel:</b>	<b>Y / N</b>
<b>Answer ONLY if there are non-U.S. persons authorized to work on this project.</b>	
If "Yes," is 22 CFR 125.4(b)(10) – Bona Fide FT employee exemption apply?	
If "Yes," has the foreign person signed the annual attestation?	
If "Yes," has the Project Director / PI also signed the annual attestation?	

<b>Personnel Needing to be Removed:</b>	

<b>Personnel Needing to be Added:</b>	

<b>Additional Personnel:</b>	<b>Y / N</b>
Was Restricted Party Screening (RPS) conducted for the individuals being added?	
If "No," does the department have an RPS Liaison to conduct the screening?	
If "No," UECP will conduct the RPS for the persons being added.	

👉 **Are there any changes to locations listed in the TCP?**    Yes    No

<b>Current Location/Building</b>	<b>Room Identifier</b>	<b>Security Mechanism Used:</b>

<b>Locations to be Added:</b>		
<b>Location/Building</b>	<b>Room Identifier</b>	<b>Security Mechanism Used:</b>

<b>Locations to be Removed:</b>		
<b>Current Location/Building</b>	<b>Room Identifier</b>	<b>Security Mechanism Used:</b>

<b>Multiple Projects:</b>	<b>Y / N</b>
Were multiple projects conducted in any of the locations listed on the TCP?	
Were these projects disclosed in the TCP or any subsequent TCP Amendments?	
Were these projects export controlled?	

*\*If not authorized, contact UECP immediately as an export violation may have occurred! Foreign national must not be given further access to ITAR materials pending further review by UECP.*

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### Multiple Projects:

*If multiple projects were conducted in any of the locations on the TCP for this project which were not previously disclosed in the TCP or Amendments, identify those "other" projects.*

"Other" Project Name/Title	PI	Active TCP (Y/N)
1		
2		
3		

↪ **Where any non-U.S. persons working on the "other" projects listed above?**    Yes    No

### Multiple Projects – non-U.S. Persons:

*Please list the details for the non-U.S. persons working on the "other" projects listed above?*

Non-U.S. Person Name	Citizenship	Working on Project #

### Multiple Projects – Preventive Security Measures Taken:

*Explain procedures put in place to prevent access by non-U.S. persons to the ITAR controlled project information, materials, data, and equipment. (i.e., the use of time blocks, visitor logs, doors closed and locked, signage posted on closed door, equipment/materials stored and locked in cabinet when not in use, clean desk when leaving lab/room, etc.).*

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### ↪ Physical Security:

**Are the physical security provisions of this TCP being followed to protect technical data, equipment, software or other information?** *Check rooms, labs, cabinets, etc. and other provisions per the TCP.*

Item	Y/N/NA	Comments
Door Closed		
Door Locked		
Restricted Access Sign Posted		
Clean Desk Policy Followed		
Export Controlled Equipment Labeled		
External Storage Devices are encrypted and secured		
Export Controlled Hard Copies Locked		
Export Controlled Hard Copies Labeled		
PEC Printed on Secured Printer		
PEC Secured During Transport		
Any PEC Taken Outside the U.S.		
License to export PEC obtained		

*\*PEC=Physical Export Controlled Information*

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↪ If any of the physical security provisions are not being followed, describe and list corrective action that needs to be taken.

### Physical Security – Corrective Action Needed:

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### ↪ Information Security:

**Are the information security provisions of this TCP being followed to protect technical data, software or other information?** *If applicable, check to see if... ITAR files are encrypted on: desktop or laptop computer, flash drives, and secured server; If emailing ITAR data, messages have been encrypted; and other provisions per the TCP*

Item	Y/N/NA	Comments
Encrypted Flash Drives		
Data / Info. Stored on Secured Server		
Any EEC Sent via Email		
Data Transmitted Securely		
E-Mail Encrypted		
Files/Folders Encrypted on Devices		
Transported EEC Secured		
Any EEC Taken Outside the U.S.		
License to export EEC obtained		
Other?		

\* ECC=Electronic Export Controlled Information

↪ If any of the information security provisions are not being followed, describe and list corrective action that needs to be taken.

### Information Security – Corrective Action Needed:

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### ↪ Visitors:

**Y / N**


Were there any Visitors to the lab(s) or facility?	
Was a visitor log maintained?	
A copy of the visitor log was provided to UECP?	


↪ Did any non-U.S. persons have VISUAL, PHYSICAL, OR ELECTRONIC access to ITAR equipment, data, materials, or other information associated with this project?  Yes  No


### Non-U.S. Visitors:

Name	Citizenship	NDA (Y/N)	DSP-5 (Y/N)	License #	ITAR Exemption Used

## TCP AUDIT QUESTIONNAIRE

 <b>Specialized Tooling / Equipment:</b>	<b>Y / N</b>
Was any ITAR tooling or other equipment made specifically by a vendor for this project?	
If "Yes," was the Vendor Certification form signed by the vendor?	
A copy of the signed Vendor Certification form was provided to UECP	

 <b>Shipping:</b>	<b>Y / N</b>
Were any items shipped outside the U.S. related to this project?	
If "Yes," does the PI or other project team member have a copy of all paperwork related to every shipment?	
A copy of all shipment paperwork was provided to UECP	

 <b>Disposal / Destruction:</b>	<b>Y / N</b>
When hard copies (paper/CD) of export controlled data / information no longer needed, is it cross-cut shredded and disposed of appropriately?	
When electronic copies of export controlled data / information stored on an external storage device no longer needed, are such devices destroyed or erased?	
Are emails with technical data deleted from the computer?	
If export controlled technology or equipment are no longer needed, are such items destroyed or demilitarized?	
If export controlled data, information, technology or equipment are no longer needed for this project but will still be retained, are such items appropriately secured? (i.e., locked cabinet, drawer, safe).	

 **If disposal methods are not being used, describe and list corrective action that needs to be taken.**

<b>Information Security – Corrective Action Needed:</b>

 **Are there any additional comments from the PI / Project Director?**    Yes    No

<b>Additional Comments:</b>

 **Were any recommendations made by the Auditor?**    Yes    No

<b>Recommendations:</b>