SECURITY ORGANIZATION FOR CONTROLLED GOODS

The following people, on behalf of the person, will be responsible for the security of controlled goods and/or controlled technology at Memorial University of Newfoundland:

Dr. Rod Hobbs is the Authorized Individual and Designated Official.

Registered persons authorized to examine, possess and/or transfer controlled goods on behalf of Memorial University of Newfoundland include:

Dr. Ali Aksu, Professor, Department of Earth Sciences
Ms. Georgina Bishop, Demonstrator, Marine Institute
Dr. Wei Qiu, Department Head, Ocean and Naval Architectural Engineering, Department of Engineering and Applied Sciences
Dr. Dexin Zhan, Research Associate, Department of Engineering and Applied Sciences

Responsibilities of the Security Organization

The responsibilities of the individuals stipulated above are as follows:

- The Authorized Individual, on behalf of the organization, is responsible for:
  - Ensuring that a designated official is appointed for each place of business in Canada where controlled goods and/or controlled technology are kept; and
  - Approving by his/her signature any changes in any of the information contained in the application for registration.

- The Designated Official, on behalf of the organization, is responsible with respect of each employee of the registered organization who requires in the course of their duties access to controlled goods and/or controlled technology for:
  - Conducting, with the consent of the individual concerned, a security assessment in accordance with section 15 of the CGR;
  - Determining, on the basis of a security assessment, the extent to which the individual concerned poses a risk for transferring controlled goods and/or controlled technology to any person who is not registered or exempt from registration;
  - Making and keeping, on the basis of the security assessment, an evaluation as to the honesty, reliability and trustworthiness of the employee concerned during the
period of their employment and for a period of two years after the day on which they cease to be an employee of the organization;

- authorizing, with respect to those individuals concerned who have been evaluated as being honest, reliable and trustworthy, the extent with which they may examine, possess or transfer controlled goods and/or controlled technology; and

- submitting applications for exemptions to the Minister with respect to temporary workers or visitors.

- Dr. Rod Hobbs is responsible, on behalf of the organization, for keeping and maintaining, during the period of registration and for a period of five years after the day on which the person ceases to be registered, records that contain:

  - a description of any controlled goods and/or controlled technology received by the person, the date of their receipt and an identification of the person from whom they were transferred;

  - a description of any controlled goods and/or controlled technology transferred by the person, the date of their transfer and the identity and address of the person to whom they were transferred, and

  - a description of the manner and date of disposition of the controlled goods and/or controlled technology;

- Dr. Rod Hobbs is responsible, on behalf of the organization, for keeping a copy of the evidence referred to in subsection 16(2) of the CGR for a period of two years after the day on which the individual who is exempt ceases to have access to the controlled goods and/or controlled technology of the registered organization;

- Dr. Rod Hobbs is responsible, on behalf of the organization, for establishing and implementing a security plan with respect to each place of business in Canada where controlled goods and/or controlled technology are kept;

- Dr. Rod Hobbs is responsible, on behalf of the organization, for providing training with respect to the secure handling of controlled goods and/or controlled technology for officers, directors, employees and temporary workers who are authorized to possess or examine those goods;

- Dr. Rod Hobbs is responsible, on behalf of the organization, for providing briefings with respect to the secure handling of controlled goods and/or controlled technology by visitors who are authorized to examine those goods;
• Dr. Rod Hobbs is responsible, on behalf of the organization, for collecting:

  • evidence of the individual's status as an employee of the organization registered
to access controlled goods and/or controlled technology under the International
Traffic in Arms Regulations, Title 22, Parts 120-130 of the Code of Federal
Regulations (United States) (Confirmation that the individual is employed by that
organization);

  • evidence of the registration and eligibility of that person under the International
Traffic in Arms Regulations;

  • evidence of the eligibility of the individual under the International Traffic in Arms
Regulations.

• Dr. Rod Hobbs is responsible, on behalf of the organization, for informing the Minister
within 10 business days of any change of information contained in the application for
registration

• Dr. Rod Hobbs is responsible, on behalf of the organization, for overseeing the response
to any security breach

PROCEDURES TO MONITOR THE CONTROLLED GOODS

BREACHES

Investigating and Reporting

Security breaches can be categorized as follows: loss, unauthorized
examination/possession/transfer, willful damage, tampering of controlled goods and/or
controlled technology. As a condition of registration under the CG Regulations Memorial
University of Newfoundland must:

• report the security breach to the local police, if it is criminal in nature;

• advise the CGD within three days upon discovery of a potential security breach in
relation to controlled goods and/or controlled technology;

• In the event of a security breach the following investigative steps will be initiated by Dr.
Rod Hobbs:
  o Engage the assistance of the Manager, Campus Enforcement and Patrol
  o Determine the nature of the security breach including which controlled goods
were involved and where the security breach took place and when it happened
  o Determine who was involved including whether the goods were in the possession
of a registered individual at the time of the breach
Determine what lead to the security breach, how did it occur and what steps should be taken to prevent a reoccurrence

- Document the security breach; and
- Implement corrective measures to ensure similar security breaches do not occur in the future.

CGD is to be advised of a security breach via:

Telephone: 1-866-368-4646
Facsimile: 613-948-1722
Electronic mail: ncr.cgd@pwgsc.gc.ca

Director, Controlled Goods Directorate
c/o Central Mail Room
Place du Portage, Phase III OB3
11 Laurier Street, Gatineau
2745 Iris Street, 3rd Floor
Ottawa, Ontario
K1A 0S5

Immediate notification of a security breach to the CGD allows for tracking and follow-up.

**TRAINING PROGRAM**

In order to maintain the Person’s awareness of controlled goods and/or controlled technology, the officers, directors, employees and temporary workers will have to undergo the following training:

- Read the security plan on an annual basis;
- Read the CGD Newsletters; and
- Participate in any other CGP relevant training as required by the Designated Official.

**SECURITY BRIEFINGS**

Visitors who have not received registration exemption from CGD will be informed that they will not be allowed to examine, possess, or transfer controlled goods in the course of their visit.

Visitors who have received registration exemption from CGD will be reminded by means of a security briefing given by Dr. Rod Hobbs, or his designate, of any limitations that may be imposed in the exemption certificate and of their responsibility to prevent transfer of Controlled Goods technology.