

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
- 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 for the following:
 - conducting, at least once every five years and with the consent of the individual concerned, including their consent to the disclosure of their personal information to — and its use by — Canadian government entities and credit reporting agencies for the purpose of the assessment, a security assessment in accordance with section 15,
 - determining, on the basis of the security assessment, the extent to which the individual concerned poses a risk of transferring a controlled good to a person who is neither registered nor exempt from registration,
 - if the designated official is of the opinion that the individual concerned poses a high risk, requesting that the Minister conduct his or her own security assessment in respect of the individual concerned and provides to the Minister, for the purpose of carrying out that assessment, all information and evidence obtained by the designated official under subsections 15(2), (4) and (5),
 - considering any recommendation provided by the Minister under subsection 15.1(2);
 - deciding the extent to which the registered person ought to authorize the individual concerned to examine, possess or transfer controlled goods;
 - verifying the information provided to them by temporary workers, international students and visitors for the purpose of applications for exemption submitted under section 18.

- obtaining and maintaining any certification required by the Minister.
- 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 submitting to the Minister, every six months, the name of each individual in respect of whom the designated official conducted a security assessment during the previous six months, as well as the individual's date of birth and an indication of the extent to which they were authorized to access controlled goods.
- 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:
 - Engage the assistance of the Manager, Campus Enforcement and Patrol
 - Determine the nature of the security breach including which controlled goods were involved and where the security breach took place and when it happened
 - 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.