

CONTROLLED GOODS PROGRAM

PRE-INSPECTION SELF-ASSESSMENT CHECKLIST

This checklist provides an indication of, although is not limited to, some of the items that a Controlled Goods Program (CGP) Inspector may verify or inquire about during an inspection. It is at the discretion of the registered business to self-assess the below information prior to the CGP inspection.

CHANGES TO APPLICATION

The applicant or registered person shall inform the CGP of any changes of the following information:

- The applicant's legal name, business name, address, telephone numbers of any of the places of business in Canada and, if applicable, electronic mail and facsimile numbers
- Legal status of the business
- The name, residential address and position of any of the directors, officers, partners or proprietors of the business;
- The names and addresses of the persons who each own more than 20% of the outstanding voting shares or interests of the business
- Telephone number and, if applicable, facsimile number and electronic mail address of the designated official
- The controlled goods and/or controlled technology that the applicant intends to examine, possess or transfer and the addresses of the locations where those goods will be kept
- The addresses of the locations where the records required by these Regulations will be kept

SECURITY PLAN

The CGP Inspector will require a copy of your Security Plan prior to the inspection. Your Security Plan should include the following information:

- Procedures to control the examination of controlled goods and/or controlled technology
- Procedures to control the possession of controlled goods and/or controlled technology
- Procedures to control the transfer of controlled goods and/or controlled technology
- Procedures for reporting and investigating security breaches
- Description of the responsibilities of the security organization, and identification of individuals responsible for the security of controlled goods and/or controlled technology
- Contents of training programs given to visitors, officers, directors, employees and temporary workers
- Contents of security briefings given to visitors, officers, directors, employees and temporary workers

The purpose of the Security Plan is to ensure adequate security is implemented for the protection of controlled goods.

RECORD KEEPING

- ❑ Records of receipt of controlled goods
- ❑ Records of transfer of controlled goods
- ❑ Records of disposal of controlled goods
- ❑ Records of employee security assessments (each security assessments should contain personal references; criminal history; in the case of an individual, their places of residence, and their employment and educational histories; and in the case of a corporation or other business, its ownership)

The purpose of record keeping is the ability to track controlled goods; i.e. where the goods came from, where the goods were transferred to, who has had access to the goods and were those individuals security assessed, how were the goods disposed of, etc.

VISITORS AND TEMPORARY WORKERS

- ❑ Records of Applications for Exemption for Visitors
- ❑ Records of Applications for Exemption for Temporary Workers
- ❑ Records of US Government visitors
- ❑ Records of visitors from US businesses registered with the International Traffic in Arms Regulations
- ❑ Records of visitors provided with security briefings
- ❑ Records of temporary workers provided with training programs

Visitors pose the greatest risk of unauthorized access to controlled goods. The purpose of the CGP vetting these individuals is to ensure appropriate access to controlled goods is granted.

During the course of the inspection, the CGP Inspector may ask for copies of certain documentation.

Visit the CGP Web site at www.cgp.gc.ca for additional information on inspections.

A **visitor is not an employee** and is not a Canadian citizen or permanent resident ordinarily resident in Canada.

A **temporary worker is an employee** yet is not a Canadian citizen or permanent resident ordinarily resident in Canada.

