



Controlled Goods Program

Pre-Inspection Self-Assessment Checklist



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

Changes to Application

The applicant or registered person shall inform the CGP of any changes to the following information: (*Controlled Goods Regulations* (CGR) s.9)

- ☐ The applicant's legal name, business name, address, telephone number of any of the places of business in Canada, and if applicable, e-mail and facsimile number (CGR s.3.(a))
- ☐ Legal status of the business (CGR s.3.(b))
- ☐ The name, residential address and title of each of the directors, officers, partners or proprietors of the business (CGR s.3.(c))
- ☐ The names and addresses of the persons who each own more than 20% of the outstanding voting shares or interests of the business (CGR s.3.(d))
- ☐ The appointment or replacement of a designated official (CGR s.9)
- ☐ Telephone number and, if applicable, facsimile number and e-mail address of the designated official (CGR s.3.(e))
- ☐ The controlled goods and/or technology that the applicant intends to examine, possess or transfer and the address of the locations in Canada where those goods are kept (CGR s.3.(g))
- ☐ The address of the locations where the records are kept (CGR s.3.(h))

Security Plan

The CGP Inspector will require a copy of the registered person's Security Plan prior to the inspection. The purpose of the Security Plan is to ensure adequate security is implemented for the protection of controlled goods. The Security Plan must include the following information: (CGR s.10. (e))

- ☐ Procedures to control the examination, possession and transfer of controlled goods (CGR s.10.(e)(i))
- ☐ Procedures for reporting and investigating security breaches (CGR s.10.(e)(ii))
- ☐ Description of the responsibilities of the security organization, and identification of individuals responsible for the security of controlled goods (CGR s.10.(e)(iii))
- ☐ Contents of training programs given to officers, directors, employees and Temporary Workers (CGR s.10.(e)(iv))
- ☐ Contents of security briefings given to Visitors (CGR s.10.(e)(iv))

Physical Security

The CGP Inspector will ask for a brief description of the premises, more specifically the location within the building where the controlled goods are kept and the type of security measures in place to safeguard the controlled goods. Physical security measures will vary from company to company with regards to the type of controlled goods/technology being accessed, how the goods/technology will be accessed and how many employees will be accessing the goods/technology.

Record Keeping

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 the goods were disposed of, etc. The registered person is required to keep and maintain records of the following:

- ☐ Receipt of controlled goods (CGR s.10.(a)(i))
- ☐ Transfer of controlled goods (CGR s.10.(a)(ii))
- ☐ Disposal of controlled goods (CGR s.10.(a)(iii))
- ☐ Records of security assessments for officers, directors, employees and temporary workers (CGR s.10.(b))

Visitors and Temporary Workers (T.W)

The CGP vets Visitors and Temporary Workers to ensure authorized examination, possession and transfer of controlled goods is granted. The registered person is required to keep and maintain records of the following:

- ☐ Applications for Exemption for Visitors (CGR s.18)
- ☐ Applications for Exemption for T.W. (CGR s.13.(b))
- ☐ US Government Visitors
- ☐ Visitors from US businesses registered with the International Traffic in Arms Regulations (CGR s.16.(1))
- ☐ Visitors provided with security briefings with respect to the secure handling of controlled goods (CGR s.10.(g))
- ☐ Employees, officers, directors and T.W. provided with training programs with respect to the secure handling of controlled goods (CGR s.10.(f))

During the course of the inspection, the CGP Inspector may ask for copies of certain documentation (*Defence Production Act* s. 42(1)(b))

For additional information on inspections, visit the CGP Web site at <http://ssi-iss.tpsgc-pwgsc.gc.ca/dmc-cgd/>

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

A temporary worker is an employee of a registered person and is not a Canadian citizen or permanent resident ordinarily resident in Canada.