



SECURITY ASSESSMENT SUMMARY

by designated official conducting a security assessment of an employee, director or officer

Name of individual security assessed

Name of registered person (company name)

Assessment date:

Summary of assessment:

Include what was done to complete the assessment and your findings. Attach additional pages if needed.

Matrix risk level (check one):

Low

Moderate

High¹

Determination of designated official regarding the risk of unauthorized transfer (check one)

As required by sections 13 and 15 of the *Controlled Goods Regulations*.

Denial of access to controlled goods

I, the undersigned, have reviewed the information provided by the individual being security assessed and based on an evaluation of this information, I have determined that the individual named above, poses a risk of unauthorized transfer of a controlled good to an individual who is not registered or exempt from registration. **Therefore, examination, possession and transfer of controlled goods is denied.**

Authorization to access controlled goods

I, the undersigned, have reviewed the information provided by the individual being security assessed and based on an evaluation of this information, I have determined that the individual named above, does not pose a risk of transferring a controlled good to an individual who is not registered or exempt from registration. **Therefore, examination, possession or transfer of controlled goods is authorized.**

Describe the extent of examination, possession and/or transfer authorized ²

Full examination, possession and transfer of controlled goods

Limited. List the limitations that are imposed on the individual security assessed. Attach additional pages if needed.

Designated Official

Print name

Signature

Date (year-month-day)

¹ Place a copy of the recommendations from Controlled Goods Program on the security assessment file.

² Ensure that the individual is thoroughly briefed concerning his/her responsibilities. This briefing shall precede permission to examine, possess and/or transfer controlled goods.



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Requirement to maintain records

The registered person must keep and maintain the most recent records of security assessments and supporting documentation in respect of each individual who examines, possesses or transfers controlled goods, during the period of the employment and for a period of two years after the day on which they cease to be an officer, director or employee.

Personal information

Under the Privacy Act:

"Personal information under the control of a government institution shall not, without the consent of the individual to whom it relates, be used by the institution except

- 1. for the purpose for which the information was obtained or compiled by the institution or for a use consistent with that purpose; or*
- 2. for a purpose for which the information may be disclosed to the institution under subsection 8(2)."*

Under Personal Information Protection and Electronic Documents Act:

"An organization is responsible for personal information in its possession or custody, including information that has been transferred to a third party for processing. The organization shall use contractual or other means to provide a comparable level of protection while the information is being processed by a third party." [Schedule 1, Section 5, Clause 4.1.3].

"Personal information shall be protected by security safeguards appropriate to the sensitivity of the information." [Schedule 1, Section 5, Clause 4.7]."

Non-disclosure of information

Under the Defence Production Act (Section 30):

"No information with respect to an individual business that has been obtained under or by virtue of this Act shall be disclosed without the consent of the person carrying on that business, except:

- 1. to a government department, or any person authorized by a government department, requiring the information for the purpose of the discharge of the functions of that department; or*
- 2. for the purposes of any prosecution for an offence under this Act or, with the consent of the Minister, for the purposes of any civil suit or other proceeding at law."*