

## Job Description

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<b>Job Title:</b>	Senior Manager, Research Security
<b>Department:</b>	Office of Research
<b>Reports To:</b>	Director, Research Security
<b>Jobs Reporting:</b>	Research Security Manager, Research Security Project Manger
<b>Salary Grade:</b>	USG 13
<b>Effective Date:</b>	June 2023

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### Primary Purpose

Research Security is now a vital concern for the University of Waterloo (UW). Research funding, risk assessment, and risk mitigation plans will be mandatory for the success of every funding proposal initiated by UW researchers at the national and provincial levels. There will be hundreds of such applications submitted every year in future, and of millions of dollars implicated in successful funding applications. Reporting to the Director, Research Security and through consultation with the Director, Research Partnerships, the **Senior Manager of Research Security (SMRS)** plays a central role in the function of compliance, management, guidance, and oversight of research security activities at UW. Ensuring that the risk assessment and risk mitigation plans are successfully constructed and applied university wide is imperative for the SMRS. The SMRS will have a leadership role in the research security program by engaging daily with faculty and departments on how research security is incorporated in funding applications and faculty department planning. The SMRS will also supervise and manage two Export Control regimes, in both Canada and the US, to achieve compliance in with governance provisions. The incumbent will also be responsible for overseeing a range of functional relationships, to include members in the Office of Research, the broader university research community, OR directors, and external government and industry stakeholders.

### Key Accountabilities

#### **Research Project Risk Analysis and Mitigation**

##### **Institutional reputation**

- Manages the research security assessment process across all funding portfolios to ensure compliance with granting standards.
- Responsible for hundreds of applications every year at federal and provincial levels.
- Leads in supporting and completing risk analyses and risk mitigation plans across the OR (e.g., the mandatory NSERC Risk Assessment Questionnaire, the mandatory Ontario Ministry of Colleges and Universities Mitigating Economic and Geopolitical Risk Checklist, analogous questionnaires for other federal and provincial programs) in support of university researchers;
- Primary responsibility for ensuring that risk mitigation plans are updated and consistent with federal and provincial funding criteria to ensure funding success;
- Primary responsibility for conducting background checks, open-source intelligence, and due diligence investigations on the capacity of industry partners and industry sponsored research;
- Provides expert advice across the OR on patterns, trends, and processes associated with risk management and risk mitigation in relation to all external funding;

- Manages and advises OR Directors in evaluating, revising or developing internal risk mitigation strategies, processes or practices directed at further improving current research security-related initiatives;
- Works directly with Federal and Provincial funding agencies and relevant OR staff to discuss and implement evolving best practices related to risk mitigation;
- Manages complex research assessment areas related to dual-use technologies employed in research activities, sourcing domain-specific technical expertise as required;
- Provides leadership and is responsible for ensuring up to date information on dual use technologies is incorporated in faculty department planning;
- Responsible for ensuring modern data handling and data storage best practices are incorporated into funding application;
- Ensures that all funding applications incorporate best practices related to management of intellectual property for Canada's economic security and prosperity.

### **Controlled Goods and Export Controls**

- Under the guidance of and with dotted-line reporting to the Director, Research Partnerships, manages all functions related to compliance with Canadian Controlled Goods and Export Controls programs;
- Responsible for setting and implementing the new UW Export Control Regime for the US; violations of US Export Control compliance at UW can result in fines of up to one-million CAN\$, and criminal liability issues for UW researchers.
- Responsible for the application and screening of Canadian controlled goods provisions against UW faculty applications;
- Manages and leads the areas required for conducting security screenings of faculty, staff and senior administration requiring access to technology or information subject to Canada's controlled goods regulations;
- Responsible for determining risk level of individuals and granting access to controlled goods;
- Responsible for the signing authority on all security clearance applications;
- Possesses a security clearance adequate for screening process at all levels of research security carried on at the university;
- Works directly with federal government officials, particularly the National Research Counsel (NRC) representatives, regarding site audits and inspections of secure facilities;
- Works directly with NRC security personnel in ensuring security feature compliance provisions upheld in new NRC-UW facility;
- Reviews and approves End User Statements received by Procurement and Contract Services related to faculty equipment purchases and reviews export control provisions in industry contracts to ensure compliance;
- Submits applications for export permits to Global Affairs Canada for goods or technology listed on the Export Control List, when required;
- Ensures regulatory compliance per Government of Canada's Controlled Goods policies and procedures;
- Liaises with internal departments (e.g. shipping, procurement, faculty members) as required in relation to policy and procedure development for managing export control compliance requirements at the University of Waterloo;
- Manages the relationship between the university and external stakeholders (e.g., industry sponsors, Canadian, provincial, and U.S. government agencies) for all matters relating to Canadian controlled goods and export control.

- Leads the development and implementation of UW new US Export control regime, set up to bring UW into compliance with all US Export control laws (Department of Commerce; US State Department; US Department of Defense)
- Monitors compliance provisions with US export control regime for UW;
- Works directly with UW faculty in achieving US compliance requirements;
- Works directly with UW shipping to ensure compliance in all materials shipped from UW.

### **Contract Security Program and Personnel Screening**

- Under the guidance of and with dotted-line reporting to the Director, Research Partnerships, manages most day-to-day functions related to compliance with the Contract Security Program;
- Coordinates the submission of faculty, staff and student security screening applications to the Government of Canada's Contract Security Program;
- Coordinates the documentation required to obtain information technology and facility clearances necessary for the university to conduct specific research involving government owned protected or secret assets;
- Ensures compliance per Government of Canada's Contract Security Program policies and procedures.

### **Research Security Education and Outreach**

- Leads faculty and research staff one-on-one consultations with respect to various aspects related to research security and risk mitigation, including laboratory security best practices, and/or physical space design and potential impact of various risk factors on research programs;
- Leads in training of Office of Research leaders, directors, managers/senior managers to identify and manage potential security issues;
- Serves as a resource to provide expertise across the University in relation to research security;
- Responsible for outreach activities via workshops on research security, best practices and internal university processes;
- Coordinates with senior government leaders and organizes government or private sector visits/workshops;
- Engages external consultants regarding developing university-specific online training modules;
- Supports the development and writing of educational materials focused on various research security topics;
- Maintains a strong understanding of the current literature regarding industry standard best practices with respect to research security, risk mitigation and cyber-security hygiene;
- Cultivates relationships with peer institutions on shared best practices.

### **Research Security Human Resources Management**

- Manages research security staff to ensure compliance with granting applications and legal requirements.
- Provides oversight and guidance to research security team for strategic direction and analytic assessment.
- Leads people in interactions with multiple levels of government.

### **Incident Response and Management**

- Proactively identifies situations which may jeopardize academic research or the reputation of the university or create legal or financial liability;
- Communicates with relevant institutional and governmental bodies regarding any research security incidents that may arise;
- Provides advice to individual faculty members and University senior leadership on response and mitigation in respect of security concerns.

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*\*All employees of the University are expected to follow University and departmental health and safety policy, procedures and work practices at all times. Employees are also responsible for the completion of all health and safety training, as assigned. Employees with staff supervision and/or management responsibilities will ensure that assigned staff abide by the above, and actively identify, assess and correct health and safety hazards, as required.*

### **Required Qualifications**

<b>Education</b> <ul style="list-style-type: none"><li>• Minimum of a Master's degree and requisite experience in research security.</li></ul>
<b>Experience</b> <ul style="list-style-type: none"><li>• 5-7 years progressive experience in managing research security functions and/or export controls regimes within an academic environment;</li><li>• Demonstrated ability to determine the classification of technology/information within the appropriate regulatory regime, including the U.S. International Traffic in Arms Regulations (ITAR) and Export Administration Regulations (EAR) and Global Affairs Canada export control list;</li><li>• Proven successful supervisory/mentoring ability.</li></ul>
<b>Knowledge/Skills/Abilities</b> <ul style="list-style-type: none"><li>• Knowledge of risk assessment and risk mitigation planning and strategy development;</li><li>• Must hold or be eligible for Secret-Level security clearance;</li><li>• In-depth knowledge of relevant U.S. and Canadian regulations for export controls, including the U.S. International Traffic in Arms Regulations (ITAR) and Export Administration Regulations (EAR);</li><li>• Experience with developing institutional security plans;</li><li>• Demonstrated ability to review research applications and agreements with an eye to risk mitigation and compliance with export laws;</li><li>• Demonstrated ability to communicate and collaborate effectively with individuals at all levels in the organization;</li><li>• Ability to set and manage priorities judiciously;</li><li>• Strong conflict management and negotiating skills;</li><li>• Superior analytical, evaluative and problem-solving abilities;</li><li>• Excellent written and oral communication, interpersonal, negotiation, and leadership skills; Comfortable presenting to faculty and university leaders;</li><li>• Diplomacy and discretion in handling matters which are highly sensitive and confidential;</li><li>• Advanced knowledge of MS Word, Excel, PowerPoint, and Adobe Pro.</li></ul>

### **Nature and Scope**

- **Contacts:** Internal: This position will be in frequent contact with researchers, senior administrators, university staff across multiple departments, such as Procurement and Contract Services, shipping, and communications. External: This position requires maintaining excellent working relationships with industry partners, government officials and funding agencies. Liaises with professional and government regulators and agencies representing the University on matters that are highly sensitive and confidential.
- **Level of Responsibility:** Supervises Research Security Manager and Research Security Project manager.
- Directly responsible for critical compliance functions, including the possibility of criminal sanctions for improper action in this role. Extremely high degree of personal responsibility for institutional compliance with potential impacts across the university (e.g., debarment of the university by a regulating agency and/or doing business with U.S. or other foreign institutions/industry partners). High risk of impact on institutional reputation if not managed well. Must handle highly confidential and government classified information.

## Job Description



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- **Decision-Making Authority:** This position must make recommendations on research project risk assessment, mitigation and compliance; interpretation of export control and other guidelines; decisions on personnel security screening. Critical decision-making concerning millions of dollars in research funding. Must be capable of making decisions independently. This position is “front-line” dealing with situations as they arise.
  - **Physical and Sensory Demands:** High level of concentration for extended periods, desk work.
  - **Working Environment:** Office-based, occasional travel, exposure to high stress situations.