



Department  
for Business  
Innovation & Skills

EXPORT CONTROL  
ORGANISATION

Service and Performance Code

MARCH 2010

# Contents

|    |                                      |    |
|----|--------------------------------------|----|
| 1. | Introduction .....                   | 3  |
| 2. | The Export Licensing System .....    | 4  |
|    | The Legislation.....                 | 4  |
|    | Types of licences .....              | 4  |
|    | Applying for a licence .....         | 6  |
| 3. | Performance targets .....            | 6  |
|    | Standards.....                       | 7  |
|    | Information and Openness.....        | 8  |
|    | Courtesy and Helpfulness .....       | 9  |
|    | Consultation and Communication ..... | 9  |
|    | Complaints .....                     | 10 |
|    | Value for Money .....                | 10 |

## 1. Introduction

Licences to export arms and other goods whose export is controlled for strategic reasons are issued by the Secretary of State for Business Enterprise and Regulatory Reform acting through the Export Control Organisation (ECO). The ECO forms part of the Department for Business, Innovation and Skills (BIS).

All relevant individual licence applications are circulated by the ECO to other Government Departments with an interest as determined by those Departments in line with their policy responsibilities. The Departments concerned include the Foreign and Commonwealth Office (FCO), the Ministry of Defence (MOD) and the Department for International Development (DFID). The ECO is also the licensing authority for certain acts controlled in accordance with UN sanctions.

In March 1998 the Cabinet Office published the Enforcement Concordat, which sets out the level of service and performance that business and others being regulated can expect from central and local Government.

More information on the Enforcement Concordat is available at on the GOV.UK website at <https://www.gov.uk>

This Service and Performance Code, which was drawn up in light of the Concordat, sets out the Government's commitments to exporters with respect to the controls that are administered by the ECO. The Code also explains the basic elements of the export licensing procedure.

If you have any queries or comments on the Code or our service, please contact:

### **ECO Helpline**

### **Export Control Organisation**

### **Department for Business, Innovation and Skills (BIS)**

**3rd Floor**

**1 Victoria Street**

**London SW1H 0ET**

**Tel: (020) 7215 4594**

**Fax: (020) 7215 2635**

**e-mail: [eco.help@bis.gsi.gov.uk](mailto:eco.help@bis.gsi.gov.uk)**

## 2. The Export Licensing System

### The Legislation

Strategic export controls are set out in the following legislation:

- Export Control Order 2008 (SI 2008/3232) and;
- EC Dual-Use Regulation 428/2009

UN sanctions and arms embargoes are implemented by Orders in Council under the United Nations Act 1946.

The legislation setting out strategic export controls and, in particular, the lists of goods subject to control change frequently to reflect new national and international concerns.

**You need to comply with the legislation in place at the time you are exporting.**

Copies of more recent export control legislation are published on <https://www.gov.uk>

Copies of all legislation administered by the ECO, including Orders in Council, can also be purchased from the:

The Stationary Office  
TSO Orders/Post Cash Dept  
PO Box 29  
Norwich NR3 1GN

Tel: 0870 600 5522  
Fax: 0870 600 5533

Email: for customer service enquiries – [customer.services@tso.co.uk](mailto:customer.services@tso.co.uk)

### Types of licences

Currently there are 7 types of export control licence issued by ECO:

1. **Open General Export Licences (OGELs)** allow the export of specified controlled goods by any exporter, removing the need for exporters to apply for an individual licence, providing the goods and destinations are covered by the OGEL and the conditions are met. Exporters must register with ECO before they make use of most

OGELs. There are also a small number of Open General Transshipment Licences (OGTLs), for which registration is not required. All Open General Licences remain in force until they are revoked although their provisions may be varied at any time.

2. **European Union General Export Authorisations (EU GEAs)** are the EU equivalent of an OGEL. EU GEAs are published in Annex II to Council (EC) Regulation No 428/2009. They are also published as part of Council Regulation (EC) No 1232/2011. An EU GEA allows the export from the EU of dual-use items specified in Annex I to the Regulation other than those specified in Annex IV or certain specific entries. Each EU GEA licence is valid to specified destinations and as with OGELs use of an EU GEA is subject to the exporter being able to satisfy the conditions contained within the licence or specified in national legislation. Similarly as with OGELs exporters must register with ECO before they use an EU GEA.
3. **Standard Individual Export Licences (SIELs)** generally allow shipments of specified goods to a specified consignee up to the quantity specified by the licence. Such licences are generally valid for two years where the export will be permanent; where the export is temporary, for example for the purposes of demonstration, trial or evaluation, the licence is generally valid for one year only and the goods must be returned before the licence expires.
4. An **Open Individual Export Licence (OIEL)** is specific to an individual exporter and covers multiple shipments of specified goods to specified destinations and/or, in some cases, specified consignees. OIELs are generally valid for 3 years. There are no Open Individual Transshipment Licences.
5. **Trade Control Licences** of which there are 3 types:
  - a. A **Standard Individual Trade Control Export Licence (SITCL)** is specific to a named trader and covers involvement in the trading (commonly referred to as 'trafficking and brokering') of a set quantity of specific goods between a specified overseas source and overseas destination country with a specified consignor, consignee and end-user. SITCLs will normally be valid for two years. Upon expiry, either by time or because the activity has taken place, the licence ceases to be valid and must be returned to ECO. Should further similar activity need to take place, a further licence must be applied for. Trade Controls only apply to goods on the "UK Military List"<sup>1</sup> and do not apply to software and technology.
  - b. An **Open Individual Trade Control Export Licence (OITCL)** is specific to a named trader and covers involvement in the trading of specific goods between specified overseas sources and overseas destination countries and/or specified consignor(s), consignee(s) and end-user(s). OITCLs are generally valid for two years. Trade Controls only apply to goods on the "UK Military List" and do not apply to software and technology.
  - c. **Open General Trade Control Licences (OGTCLs)** which allow most trading activities in respect of military and paramilitary goods on the "UK Military List"

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<sup>1</sup> Schedule 2, Part 1 of the Export Control Order 2008

moved to or from specified overseas countries. Similarly as with most OGELs, exporters must register with ECO before they use an OGTCL.

6. **Standard Individual Transshipment Licences (SITL)** - A licence is not required for the majority of transshipments through the UK from one country to another. Most other transshipments can be made under one of the Open General Transshipment Licences in force, provided that the relevant conditions are met; where this is not the case, an individual transshipment licence is required.
7. A **Global Project Licence (GPL)** is similar in nature to an OIEL. It simplifies the arrangements for licensing military goods and technologies between Framework Agreement (FA) partners (i.e. UK, France, Italy, Sweden, Spain and Germany) participating in collaborative defence projects. They can be used for exports involving both Government collaborative projects and those where an industrial collaboration has taken place and will generally be valid for the length of the particular project.

For more information about these different licence types read guidance published on <https://www.gov.uk>

## Applying for a licence

All licence applications should be sent electronically using the SPIRE website – <https://www.spire.bis.gov.uk>

All applications are assessed by technical advisers to determine whether or not the goods are controlled. As noted above, most applications are circulated to relevant other Government Departments for advice and, where this is the case, the licensing decision will be taken in the light of the advice received.

## 3. Performance targets

The Government's commitments to exporters are as follows:

- [Standards](#)
- [Information and Openness](#)
- [Courtesy and Helpfulness](#)
- [Consultation and Communication](#)
- [Complaints](#)
- [Value for Money](#)

## Standards

*Objective: To publish clear statements of standards, setting out the level of service that business can expect to receive.*

### Our Commitments:

- Non-statutory advice on whether or not goods are controlled (Control List Classification Advice Service / End-User Advice Service)
- Decisions on export licence applications

So that we can begin consideration of your application, we need you to supply us with full supporting documentation.

- Standard Individual Export Licence (SIEL) applications are circulated to other Government Departments, principally FCO and MOD. The Government's aim is to provide a substantive response within 20 working days of receipt of the application. However, some cases will take longer to process than others; there will be occasions when these targets cannot be achieved, and the ECO's target is therefore to process 70% of cases within this period. We will also aim to process 95% of all applications within 60 working days.
- These targets apply as soon as full documentation in support of the application has been provided by the applicant.

All applications are processed expeditiously and with care. However, in all cases, we advise applicants for export licences not to enter into a binding contract or to start special production until an export licence has been issued. We also encourage all exporters to apply for licences at the earliest opportunity.

- These standards do not apply to applications for Open Individual Export Licences (OIEL), because of the wide variation in the goods and country coverage of such licences, nor do they apply to applications for licences to export goods which are subject to UN sanctions.
- We aim to process 60% of OIEL applications within 60 working days.
- Appealing against decisions to refuse an application for a SIEL

Where an application for a Standard Individual Export Licence is refused, the applicant is informed via SPIRE of the reasons for the refusal and is informed that they may appeal against the decision. The appeal must be submitted within 28 calendar days of the date of

the refusal letter and should, where possible, include any additional information or arguments which may not have been available at the time of the original application and which could materially affect the refusal decision.

The appeal and any new information provided may be circulated to advisory Departments to be considered independently at a more senior level than the original application. Within ECO, the appeal is normally dealt with by the Head of the Licensing Casework Group, unless the original application was considered at his/her or a higher level, in which case appropriate alternative arrangements would be made to ensure independent consideration of the appeal. Our aim is to provide a decision on appeals within 30 working days from receipt of all the relevant information from the appellant. The target does not apply to appeals concerning goods which are subject to UN Sanctions.

Performance against targets is published in the Government's Annual Report and quarterly reports on Strategic Export Controls. See:

<https://www.exportcontroldb.bis.gov.uk/eng/fox/sdb/SDBHOME>

## Information and Openness

*Objective: To provide information and advice in plain language on the rules that we apply.*

### Our Commitment:

- We will continue to provide guidance to help exporters deal with the export licensing procedure and paperwork.
- To help cut down on paperwork and improve efficiency all licence applications are made via the SPIRE website – <https://www.spire.bis.gov.uk>
- Up-to-date information including the full texts of all Open General Licences and the latest list of goods that are subject to export control are published on <https://www.gov.uk>
- To issue Notices to Exporters with latest updates regarding export control – including announcements about sanctions, OGEL amendments and other legislative or policy changes. To register to receive Notices go to <http://blogs.bis.gov.uk/exportcontrol> or <https://www.gov.uk> . You can choose to subscribe to receive Notices via email, Twitter or RSS feed.
- When there is sufficient demand, we hold targeted seminars and workshops. These events enable exporters to discuss different aspects of the licensing system. For more information about ECO's Training and Seminars programme, view details published on <https://www.gov.uk>.
- We consult business representative organisations and other bodies about export control issues.



- Detailed information on past licensing decisions and export control policy issues are published in the Government's Annual and Quarterly Report on Strategic Export Controls at: <https://www.exportcontroldb.bis.gov.uk/eng/fox/sdb/SDBHOME>

## Courtesy and Helpfulness

*Objective: To provide a courteous and efficient service.*

### Our Commitment:

- We will identify ourselves by name in discussion and correspondence and we will answer telephones promptly and deal with business courteously and efficiently. Where appropriate, answering machines or call queuing systems are used.

## Consultation and Communication

*Objective: To consult with business on Export Control matters.*

### Our Commitment:

- We will help business understand the law on export controls and, in particular, promote best practice to maximise compliance with current legislation. If appropriate, advice is confirmed in writing.
- We will continue to hold meetings with relevant Trade Associations and will also consult as appropriate with commercial and industrial sectors that may be affected by proposed changes to export control legislation.
- Our compliance team will continue to visit exporters using open licences to examine records and check that the systems and procedures for meeting the requirements of the licence are working properly. Compliance visits are arranged in advance and the company to be visited is sent a note explaining the format that the visit will take and the compliance officer's requirements. Compliance officers also aim to promote wider understanding of the UK export control regime and to obtain feedback from exporters on all aspects of the regime.
- In close consultation with companies, ECO has developed a Code of Practice to help companies to establish an efficient compliance procedure or improve existing ones. ECO also offers information and guidance on best practice and setting standards for compliance procedures. View the "**Export Control Compliance - Code of Practice**" published on <https://www.gov.uk>.

## Complaints

*Objective: To establish a well publicised, effective and timely complaints procedure which is easily accessible to business.*

### **Our Commitment:**

- If you are dissatisfied with the service we provide, please let us know. You may wish to speak to your usual contact in the ECO to try to resolve the problem.

If you are still not satisfied you should write to:

*Katie Osborne, Customer Service and Compliance Unit, ECO, 3<sup>rd</sup> Floor, 1 Victoria Street, London SW1H 0ET*

We will then investigate the complaint and give you a full response.

- The aim is to provide a substantive response to written complaints within 15 days of receipt. If the complaint concerns an application for a licence required under UN Sanctions we may have to consult the UN Sanctions Committee and it can take longer to respond; if this is the case, we will let you know as soon as possible. Alternatively, you may write to the Minister of State for Energy, the Minister with responsibility for strategic export controls, or your Member of Parliament.

## Value for Money

*Objective: To minimise the costs of compliance with export controls.*

### **Our Commitment:**

- We will continue to help exporters to find the most efficient procedures for complying with export controls. Promoting best practice, publishing information on export control through the ECO Internet website, and providing seminars and free publications helps to reduce the costs of compliance for exporters.

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