

United Kingdom Strategic Export Controls Annual Report 2013

Presented to Parliament pursuant to Section 10 of the
Export Control Act 2002
Ordered by the House of Commons to be printed 17 July 2014

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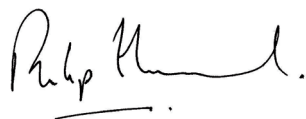
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Ministerial Foreword

This is the seventeenth Annual Report on Strategic Export Controls to be published by the United Kingdom. It describes Britain's export control policy and practice during the period January to December 2013.

The British Government is committed to **safeguarding Britain's national security** by countering terrorism and weapons proliferation, and working to reduce conflict; **building Britain's prosperity** by working with British business, increasing exports and investment, opening markets, ensuring access to resources, and promoting sustainable global growth; and **promoting British values abroad**, including on democracy, sustainable development, human rights and poverty reduction by reducing the proliferation of weapons and the diversion of resources. These are mutually reinforcing objectives, which robust and effective national and international arms export control regimes help to promote and protect.

During 2013, the Government processed 17,610 licence applications, 79.4% within 20 working days (against the published target of 70%). The Government continues to assess each application on a case by case basis. We do not approve exports where there is a clear risk that the export could be used in any way which would contravene any of the Consolidated EU and National Arms Export Licensing Criteria (known as the Consolidated Criteria).



Philip Hammond (FCO)



Vince Cable (BIS)

We continue to adapt our controls in light of global developments. As soon as circumstances change in any country, we consider our position on licences. For example, our licensing in 2013 took account of developments in Egypt and Syria. In Egypt, we agreed with EU partners to suspend licences for equipment which might be used for internal repression. In Syria, our licensing has taken account of each new set of EU Sanctions.

The Government remains committed to maintaining and strengthening the effectiveness of its strategic export controls, and to improving the international system by taking a leading role in negotiating robust, legally-binding, common standards. For example, the Arms Trade Treaty, adopted by the UN in April 2013, was the outcome of intensive efforts by successive British Governments working with UK civil society and the defence industry.

This Annual Report demonstrates the Government's commitment to transparency in the area of strategic export controls. As we saw throughout 2013, there remains strong public, media, parliamentary and civil society interest in strategic arms control issues. We trust, therefore, that the information contained in this Annual Report will be of interest to a wide range of British and international stakeholders. We commend it to both Parliament and the public.



Justine Greening (DFID)



Michael Fallon (MOD)

Section 1

UK and EU Policy Developments in 2013

1.1 Legislation

An overview of the legislation applying to the export of strategic goods, software and technology from the UK is given in Annex A. This section sets out changes to that legislation in 2013 and describes related policy developments.

One Order amending the Export Control Order 2008 came into force during 2013:

- The Export Control (Amendment) Order 2013 (S.I. 2013/428) came into force on 20 March 2013. The Order replaced Schedule 2 to the Export Control Order 2008 which lists military goods, software and technology which are subject to export controls ("the UK Military List"). The new Schedule reflects changes to the Military List agreed in the Wassenaar Arrangement and implements Directive 2012/47/EU updating the Common Military List of the EU.

Three Orders implementing changes to UN and EU sanctions, in particular providing for enforcement of, and penalties for, breaches of the sanctions, came into force in 2013:

- The Export Control (Iran Sanctions) Order 2013 (SI 2013/340)
- The Export Control (Burma Sanctions) Order 2013 (SI 2013/1964)
- The Export Control (Syria Sanctions) Order 2013 (SI 2013/2012)

In addition, the Export Control (North Korea and Ivory Coast Sanctions and Syria Amendment) Order 2013 (S.I. 2013/3182) was laid before Parliament on 17 December 2013 but did not come into force until 7 January 2014.

Please see Annex E of this report for further information on the country-specific export restrictions observed by the UK.

There were no amendments to Council Regulation (EC) 428/2009 of 5th May 2009, which established a Community regime for the control of exports, transfer, brokering and transit of dual-use items (the so-called "EU Dual-Use Regulation") during 2013.

As described in the Annual Report for 2011, the European Commission published in June 2011 a Green Paper entitled "The dual-use export control system of the European Union: ensuring security and competitiveness in a changing world." The Green Paper launched a public consultation on the implementation of the Dual-Use Regulation and was the first step in the preparation of a report for the European Council and European Parliament that the Commission is mandated to prepare under Article 25 of the Regulation.

In January 2013 the Commission published an analysis of the responses received to the Green Paper¹. On 16 October 2013 the Commission presented its report to the Council and European Parliament on the implementation of Regulation (EC) 428/2009². The report presents legislative and regulatory developments as well as the various actions undertaken to support a consistent application of export controls throughout the EU and the efforts to enhance transparency and dialogue with the private sector and academia. The report also presents key data relating

1 Commission Staff Working Document SWD(2013) 7 final - Strategic export controls: ensuring security and competitiveness in a changing world – A report on the public consultation launched under the Green Paper COM(2011) 393; 17 January 2013: http://trade.ec.europa.eu/doclib/docs/2013/february/tradoc_150459.pdf

2 REPORT FROM THE COMMISSION TO THE COUNCIL AND THE EUROPEAN PARLIAMENT on the implementation of Regulation (EC) No 428/2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items; COM(2013) 710 Final; 16.10.2013; http://trade.ec.europa.eu/doclib/docs/2013/october/tradoc_151857.pdf

to the application of export controls and their impact on security and trade, as well as a summary of stakeholders' views on export controls in a changing world.

Following this report we anticipate that the Commission will publish a Communication in the first half of 2014 setting out proposals for amendments to the EU system of export controls for dual-use items, with formal legislative proposals to follow in the second half of the year.

Council Regulation (EU) 258/2012 of the European Parliament and of the Council came into force on 30 September 2013. This Regulation establishes export authorisation, import and transit measures for "civilian" firearms, their parts and components and ammunition in respect of export from the customs territory of the Union to or through third countries. In particular, this Regulation sets out the prior approval procedures that need to be followed before export and transit licences can be granted. The Regulation also contains some simplified procedures for the temporary export or re-export of firearms that cover exports by sport shooters and hunters and where the export or re-export is for the purpose of exhibition or repair.

1.2 Policy Developments

Cyber equipment, software and technology

As explained in the Annual Report for 2012, the Government considered that some additional controls on export of so-called "cyber" technologies, beyond those already contained within the EU Dual-Use Regulation, were necessary. These products do have legitimate uses in protecting networks and in tracking and disrupting criminals. However, in the wrong hands they may also be used to conduct espionage, track and disrupt political opposition and restrict freedom of expression. Advanced capabilities can also threaten national security.

These technologies are available from a number of supplier states and many of the firms involved operate from bases in more than one country. As this is therefore an international problem the Government's preferred approach was to seek international solutions. We had already initiated a discussion within the Wassenaar Arrangement (WA) in 2012, and in 2013 submitted formal proposals to control the tools (equipment and software) for creating, delivering and controlling "intrusion software". By "intrusion software" we mean software designed to be covertly installed on a computer or smartphone and which extracts data or otherwise compromises the device.

The WA adopted these controls at its Plenary Meeting in December 2013. The WA also adopted controls on tools for extracting message content and metadata from a carrier class Internet Protocol network and using that data to map the relational networks of individuals or groups.

It is for each participating State of the WA to implement these controls. In the EU, implementation will be through an amendment to Annex I of the EU Dual-Use Regulation. We currently expect that this amendment will be adopted and come into force in the second half of 2014.

We do not rule out seeking the adoption of further internationally-agreed export controls in this area, where appropriate and practicable. In addition, and as highlighted in the Government's Cyber Security Export Strategy and the Action Plan for Implementing the UN Guiding Principles on Business and Human Rights, we will work with industry to develop guidance to address the risks posed by exports of information and communications technology that are not subject to export control but which might have impacts on human rights including freedom of expression online.

Gifting equipment currently in Afghanistan

The Government is asked regularly about UK policy on future decisions to gift military equipment currently in Afghanistan either to Afghanistan or other countries on the transit route back to the UK. Any proposals to do so would be considered against the existing policy on gifting and assessed against the Consolidated Criteria. The intent of the MOD is to redeploy the majority of military equipment in Afghanistan back to the UK and, in line with policy, gifting will not be a frequent occurrence. It may be helpful to reiterate existing policy on gifting:

- The Government only agrees to requests from foreign governments to gift them military equipment where to do so would assist our foreign and security policy aims. Gifting is not a frequent occurrence.
- All proposals from Government sponsors to gift controlled goods are assessed against the Consolidated Criteria in the same way as commercial applications and to the same degree of rigour.
- The MOD manages the assessment process and seeks advice on gifting applications from advisers in the MOD, FCO and DFID.

Gifting to the Government of the Islamic Republic of Afghanistan must also accord with International Security Assistance Force gifting policy which ensures coherence across member nations.

Further detail and a table of equipment approved for gifting by the Government is in Section 6.

1.3 Transparency and Accountability

Work continued throughout the year in making the technical changes to SPIRE (the Export Control Organisation online export licensing system) and to the 'Strategic Export Controls: Reports and Statistics' website that were necessary to implement the Transparency

Initiative. The Government had originally intended that the new reporting requirements for open licences should apply from 1 April 2013. However, it became clear early in the year that the necessary system changes would not be ready in time and on 15 May 2013 we announced, via a Notice to Exporters, a three month delay in implementation. A further three month delay was announced on 1 July 2013.

In making the final preparations for the launch of the Transparency Initiative we reviewed its scope and the potential for it to impose unnecessary burdens on business. In doing so it became clear that we had not struck the right balance between these two objectives. The Rt Hon Dr Vince Cable MP, Secretary of State for Business, Innovation and Skills, therefore told the House of Commons on 18 July 2013 that *"I have...established that we should dispense with some procedures relating to quarterly reporting, and we will do so"*. As a result, users of individual licences will be required to make reports on their usage of those licences on an annual, rather than quarterly, basis; and there will be no requirement to report on the rating of the items or provide a description of the goods exported. The start of the reporting requirement was also definitively fixed for 1 January 2014, with the first year's data to be published in 2015.

This initiative still represents a very significant increase in transparency relating to arms and other controlled exports. More than 1,500 exporters are registered for Open General Licences or hold Open Individual Licences. As a result we will be publishing, for the first time, a large amount of information on actual transactions that take place under Open Licence each year. We intend to review the reporting requirements after twelve months.

The Government continued to publish data on individual export and trade licences granted, refused and revoked on a quarterly basis on the 'Strategic Export Controls: Reports and Statistics' website. This provides a user-friendly searchable database of data published from 1 January 2008 onwards and also provides access to historic and current Quarterly and Annual Reports in pdf format. The Strategic Export Controls: Reports and Statistics website can be accessed at <https://www.exportcontroldb.bis.gov.uk/eng/fox/sdb/SDBHOME>. Users must register in order to make use of the full functionality of the site but this only takes a few minutes. Comprehensive help and guidance on using the site is also available from the home page.

The Parliamentary Committees on Arms Export Controls continued to scrutinise export licensing decisions and policy throughout 2013. The Government welcomes the scrutiny of the Committees and will continue to assist in their important work by continuing to provide as much information as possible in response to their requests. The Government now provides the Committees

with unclassified answers to the Committees' questions on the Quarterly Reports which the Committees make public. The first set of such answers was provided at the end of 2011 and published on the Committees' website on 12 January 2012. The Government will continue to work with the Committees to make as much information as possible available to the public while protecting sensitive information.

In addition, the Government continued to make Ministers available to give oral evidence to the Committees. The Rt Hon Michael Fallon MP, Minister of State for Business and Enterprise, responded for the Government in a debate in Westminster Hall on 21 November 2013 on the subject of arms export controls. The Rt Hon Dr Vince Cable MP, Secretary of State for Business, Innovation and Skills, gave oral evidence to the Committees on 18 December 2013. The Rt Hon William Hague MP, Secretary of State for Foreign and Commonwealth Affairs, gave evidence on 8 January 2014. The transcripts of these sessions are available on the Committees on Arms Export Controls pages of the UK Parliament website (<http://www.parliament.uk/business/committees/committees-a-z/other-committees/committee-on-arms-export-controls/>).

1.4 Awareness

The Government continues to deliver an extensive awareness campaign on export controls for industry around the UK. This includes:

- Shared platforms with partner organisations and stakeholders
- Dedicated Training Courses
- Website and i-newsletters

Shared platforms with partner organisations and stakeholders

The Export Control Organisation (ECO) has worked with key stakeholders from industry and government sharing platforms at nationwide global exporting events to deliver key messages that:

- export controls should not be seen as a barrier to exporting and;*
- there is a wide range of assistance available to facilitate the licence application process.*

ECO also worked in partnership with UK Trade and Investment Defence and Security Organisation (UKTI DSO) at regionally based small and medium sized enterprises (SME) events, to deliver key messages about export control requirements to defence and security businesses new to exporting. ECO engaged in a number of UKTI Export Week regional events in England in

November, also working with the International Trade Department of the Welsh Assembly. This type of activity has ensured greater awareness with businesses not known to ECO, particularly with business involved in exports of dual use controlled items.

Dedicated Training Courses for Business

45 dedicated training sessions were attended by **over 900** delegates nationwide. They were focused on the provision of specific legislative and operational information about export control obligations to industry. Course topics were:

- Beginners' workshops - those new to export controls;
- Intermediate-level seminars, covering technology exports, the different sorts of licences available, compliance with export control legislation and the UK control lists;
- Workshops to help companies classify their items on the Military and Dual Use Strategic Export Control Lists;
- Other courses to help companies improve the quality of their licence applications and reduce the need for ECO to request further information in support of the applications, enabling a quicker licence decision to be made.

The course objectives generally are to:

- Improve export control knowledge;
- Provide information about industry responsibilities in terms of export control legislation;
- Advise what export licence is best for the exporter, with a module on how to make the best use of open licences;
- Assist with how to apply for export licences.

95% of delegates who completed the assessment module for the Beginners course achieved a minimum 70% pass level, demonstrating the high quality of training provided.

On-site training was delivered to 20 businesses UK-wide who had requested bespoke training to address their specific market issues. The minimum number trained on site was ten, with maximum numbers being dependent on company requirements. In some cases more than 100 company employees were trained in these sessions, demonstrating the Government's commitment to ensure a high level of compliance among a wide range of company employees including design / procurement / sales personnel etc.

248 companies new to ECO training registered for these training courses, many of which were small and medium sized enterprises (SMEs), further demonstrating the Government's commitment, to reach out to a wider group of exporters dealing in strategic items.

Export Control Symposium

ECO delivered the first Export Control Symposium in March 2013. The event attracted almost 200 delegates from a wide cross section of businesses. It was opened by the Rt Hon Michael Fallon MP, Minister of State for Business and Enterprise, who announced the new target to deliver 99% of Standard Individual Export Licences in 60 working days. The Symposium demonstrated the Government's commitment to join up departmental policies, and enabled delegates to participate in workshops led by all departments with responsibility for taking decisions on export licences in line with the Consolidated Criteria.

Cross-Departmental Working

The Government recognises the need to ensure all officials involved in export control are well briefed in key policies and operations. ECO delivered four training courses specifically for officials in Whitehall departments engaged in Arms Export Control policy with key roles in the licence decision making process.

In addition to these general awareness-raising activities, the Government sought to provide updates on specific countries of concern. The Government continued to publish, on the ECO website, a list of Iranian entities of potential weapons of mass destruction (WMD) concern. The list is intended to help exporters judge which exports could be of concern on WMD end-use grounds, based on previous licensing decisions, including when they should contact ECO for advice. Inclusion of an entity on the list does not necessarily indicate that an export licence would be refused, nor does non-inclusion mean that there are no end-use concerns. Exporters are encouraged to contact ECO whenever they have any suspicions regarding possible WMD end-use.

Notices to Exporters

The Government continued to encourage industry to sign up to receive Notices to Exporters (NTEs) and in 2013 subscribers increased to over 6,500 (from circa 3,000 in 2010 and 5,000 in 2012). 27 NTEs were issued – with over one third of these related to updates on sanctions and legislation. The Twitter feed to Notices introduced in 2011 has continued to prove popular and the account now has a total of 239 followers, an increase of 16% since 2012.

Website update

Following the launch of the new Government website GOV.UK, all users experienced some teething problems.

This was mainly due to the lack of a dedicated “Landing Page” for ECO. With 82 detailed guides regarding policy and operational information, the search facility within GOV.UK proved challenging. The situation was addressed with the introduction of a Policy Page for ECO <https://www.gov.uk/government/organisations/export-control-organisation> enabling easy accessibility to all legislation and tools including SPIRE. Additional improvements to web based guide services included the ECO Performance Dashboard, enabling exporters to see at a glance export licensing decisions and timescales on a country-by-country basis.

Exporters continued to make use of ECO’s two web-based search tools which help to identify which products need a licence (“Goods Checker”) and, if licensable, whether an Open General Export Licence³ (OGEL) potentially covers the proposed exports (“OGEL Checker”). “Goods Checker” provides a web-based search function across the Consolidated UK Strategic Export Control List. “OGEL Checker” assists users who know the rating (Control List classification) of their goods and the destination country for the proposed export to find out which OGEL(s) may cover the export, provided all the conditions can be complied with.

An additional 2,397 new users registered to use both the checker tools in 2013 of which 83% were UK industry users. Of the total number of registrations, 40 were Government User registrations. Both of these tools can be accessed at www.ecochecker.bis.gov.uk

1.5 Advisory services

The two advisory services – the Control List Classification Advice Service and the End-User Advice Service – have been running since June 2011 replacing the Rating Enquiry Service as part of an exercise to drive efficiency, allowing us to cope more effectively with growing activity without requiring extra resource and to provide services more focussed to the needs of the exporter.

The Control List Classification Advice Service:

Under this service, ECO’s technical experts advise exporters whether their equipment features on any of the UK Strategic Export Control Lists. The principal difference from the former Rating Enquiry Service is that the service only provides advice on the Control List classification of the goods.

There are no published targets for this service as the service is a non-statutory advisory service. In 2013 we received 696 requests and of these 34% were completed within 20 working days.

The End-User Advice Service:

Under this service, exporters can request advice on whether ECO has Weapons of Mass Destruction (WMD) or Military End-Use concerns related to the organisations they name.

Before using the service, exporters must first have satisfied themselves that their goods do not appear on any of the UK’s control lists (i.e. No Licence Required - NLR) either through previous ECO decisions, by having made appropriate self-rating checks, or by having made use of the separate advisory service (Control List Classification Service).

ECO will then provide advice to companies that BIS either has no concerns (and they can proceed to export) or that BIS has concerns (and therefore they should apply for an export licence).

Being a non-statutory advisory service there are no published targets, but during 2013 BIS received 989 enquiries and 51% were completed within five working days and 96% within 20 working days.

³ A full explanation of the different UK export licences currently available is included in Section 4 and Annex A of this report.

Section 2

International Policy in 2013

Treaties and Agreements

2.1 Arms Trade Treaty

On 2 April 2013 the United Nations General Assembly adopted the first global Arms Trade Treaty (ATT) to regulate the international trade in conventional arms. The vote on the Resolution to adopt the Treaty passed with 154 votes in favour, three votes against (Iran, DPRK and Syria) and 23 abstentions.

The then Parliamentary Under Secretary of State at the Foreign and Commonwealth Office, the Rt Hon Alistair Burt MP, was among the first to sign the Treaty when it opened for signature on 3 June 2013, alongside 66 other UN Member States. The ATT then cleared Parliamentary scrutiny under the Constitutional Reform and Governance Act (CRAg) on 5 November 2013. Ratification could not be completed until the UK received authorisation from the EU Council of Ministers as the Treaty covers matters of EU exclusive competence (trade), in addition to matters of national competence. The Plenary of the European Parliament voted on this on 5 February 2014. The majority of MEPs voted in support of ratification. The Council Decision was approved by the Council of Ministers on 3 March 2014. The Foreign Secretary signed the instrument of ratification in London on 28 March 2014. The UK then deposited its instrument of ratification in New York on 2 April 2014 alongside 16 EU Member States (including France, Germany and Italy) and El Salvador.

At the time of writing (3 June 2014), 40 states have deposited their instruments of ratification. The ATT will enter into force 90 days after the 50th ratification. The Government continues to encourage other States to sign and ratify the ATT through regular bilateral contact by the Foreign Secretary, other Ministers and by officials.

The UK is also supporting the ATT in practical terms. We have continued to provide targeted project funding, with support from our network of Diplomatic Missions overseas, and maintain our close collaboration with other governments, civil society and industry. The FCO's Strategic Programme Fund has enabled us to fund project work in China, and African and Caribbean States to raise awareness and strengthen capacity to ratify the ATT.

Finally, the UK also supported the EU Council Decision 2013/768/CFSP on activities in support of ATT implementation. The aims of the project are to assist countries with their efforts to strengthen arms transfer control systems in order to implement the ATT, and to increase the awareness and ownership of the ATT by regional and national authorities. Planning for this project is now underway.

2.2 Small Arms and Light Weapons

The illicit trade in Small Arms and Light Weapons and the uncontrolled spread and accumulation of these and other conventional arms means there is no shortage of evidence of the problems caused by their proliferation.

The use of Small Arms and Light Weapons is responsible for killing and injuring hundreds of thousands of people worldwide every year. Additionally, the violence perpetrated by people using these weapons can destroy livelihoods, displace entire communities, and hamper social and economic development.

The UN Programme of Action to Prevent, Combat and Eradicate the Illicit Trade in Small Arms and Light Weapons in All its Aspects is the main international instrument for tackling these issues and the UK is committed to its full implementation (<http://www.poa-iss.org/poa/poahtml.aspx>).

The UK also supports the work carried out by the EU as part of its Small Arms and Light Weapons Strategy to combat the illicit accumulation and trafficking of Small Arms and Light Weapons and their ammunition. The EU produces six-monthly and annual reporting to reflect all the work being done to implement the Strategy (http://eeas.europa.eu/non-proliferation-and-disarmament/salw/index_en.htm).

In September 2013, the UK was pleased to note that agreement was reached on the first ever UN resolution focused on small arms and light weapons (UNSCR 2117). This reaffirmed our own and the global commitment to address the threat of small arms and light weapons. A full copy of the resolution is available here: (<http://unscr.com/en/resolutions/2117>)

2.3 UN Convention on Certain Conventional Weapons

The purpose of the Convention on Certain Conventional Weapons (CCW) is to prohibit or restrict the use of certain conventional weapons which may be deemed to be excessively injurious or to have indiscriminate effects. Its structure is of a chapeau Convention with annexed Protocols – a structure adopted to allow the consideration of other conventional weapons in the future as relevant.

The Convention itself contains only general provisions. All prohibitions or restrictions on the use of specific weapons or weapon systems are the subjects of the protocols annexed to the Convention. There are five protocols: Protocol I on Non-Detectable Fragments; (Amended) Protocol II on Mines, Booby Traps and Other Devices; Protocol III on Incendiary Weapons; Protocol IV on Blinding Laser Weapons; and Protocol V on Explosive Remnants of War.

The UK attended the Meeting of the High Contracting Parties to the Convention held in Geneva on 14 and 15 November 2013. Amongst other business, the High Contracting Parties agreed to hold informal discussions on Lethal Autonomous Weapons Systems in May 2014, as a means of developing a better understanding of the issue.

2.4 The Anti-Personnel Mine Ban Convention

Anti-personnel mines (APMs) have led to suffering and casualties in many parts of the world, leading to serious humanitarian and developmental problems.

The Anti-Personnel Mine Ban Convention was adopted on 18 September 1997, and entered into force on 1 March 1999. 161 States are now party to the Convention. The Convention bans the use, stockpiling, production and transfer of anti-personnel mines. In addition, states that accede to the Convention are required to

destroy stockpiled APMs, clear mined areas under their jurisdiction or control, and to assist the victims of APMs.

In 2013, in compliance with the UK's mine clearance obligations under the Convention, the third phase of demining operations in the Falkland Islands was conducted. Five minefields were cleared, resulting in 296 APMs and 32 anti-vehicle mines being accounted for and destroyed locally. The Falkland Islands Government participated in the governance of the project.

The 13th Meeting of States Parties to the Convention took place in Geneva on 2-5 December 2013, overseen by the Algerian presidency, and attended by the UK.

2.5 The Convention on Cluster Munitions

Cluster munitions can have a devastating humanitarian impact on civilian populations. Unexploded ordnance from cluster munitions can remain dispersed and undetected for decades, threatening the lives of civilians and hampering post-conflict reconstruction and development.

In 2008, a number of governments, including the UK, came together to negotiate the Convention on Cluster Munitions. The resulting international treaty prohibits the use, development, production, acquisition, stockpiling and transfer of cluster munitions.

The UK became the 32nd state party to the Convention on Cluster Munitions in 2010. Currently the Convention has 113 signatories.

The UK withdrew all cluster munitions from operational service in 2008. Destruction of the UK stockpile of 38,758,898 sub-munitions was completed in December 2013, five years ahead of the deadline imposed by the Convention on Cluster Munitions.

This represents an early and dedicated effort to realise, as quickly as possible, and in a safe, secure and environmentally responsible manner, the treaty obligation to destroy cluster munitions stockpiles.

The UK has continued to play an active role in international cooperation and assistance to countries affected by cluster munitions contamination. Between 2010 and 2013, the UK committed more than £30 million to international mine action work, which includes addressing the legacy of cluster munitions use. This work included the clearance of unexploded ordnance, removing over 70,000 mines and Explosive Remnants of War and releasing over 10,000 hectares of contaminated or suspected hazardous land. In addition to this, we allocated significant additional funding for mine action work in Afghanistan and Libya.

The UK played an active part in the fourth Meeting of States Parties to the Convention on Cluster Munitions, which took place in Lusaka, Zambia from 9-13 September 2013.

2.6 The UN Register of Conventional Arms

The United Nations Register of Conventional Arms is a voluntary global reporting instrument, intended to create greater transparency in international arms transfers and help identify any excessive build-up of arms in particular countries or regions.

The UN Register currently covers seven categories of conventional weapons, namely: battle tanks; armoured combat vehicles; large-calibre artillery systems; combat aircraft; attack helicopters; warships (including submarines); and missiles and missile-launchers (including Man-Portable Air Defence Systems). There is an additional background section of the Register for countries to report national holdings of Small Arms and Light Weapons.

The UK reports annually to the UN on all exports of military equipment in these categories. Whilst all reporting to the UN Register is voluntary, the UK continues to view regular and comprehensive reporting as important, and actively encourages all UN member states to participate with similar levels of transparency. Transparent systems are less vulnerable to manipulation by groups that view rigorous export controls as an impediment to their aims. Previous and current national reports are available here (<http://www.un.org/disarmament/convarms/Register/>).

Export Control Regimes

2.7 Nuclear Suppliers Group

The Nuclear Suppliers Group (NSG) seeks to prevent the proliferation of nuclear weapons through the implementation on a national basis of export controls for nuclear and nuclear-related material, dual-use material, equipment, software and technology, without hindering international cooperation on peaceful uses of nuclear energy. It also promotes effective safeguards and the protection of existing nuclear materials.

The Czech Republic hosted the 23rd Plenary of the Nuclear Suppliers Group in Prague from 10 to 14 June 2013. The membership of Mexico and Serbia was formally accepted, bringing the total number of Participating Governments to 48. The Group welcomed the successful conclusion of the three-year-long fundamental review of the control lists that regulate nuclear exports. In total, 54 changes to the control lists were accepted during the review. A Technical Experts Group was established to continue the work of the review by keeping the control lists up-to-date, ensuring that the NSG can counter

evolving proliferation threats. In addition, the Group shared information on developments in countries of concern, including Iran and the Democratic People's Republic of Korea. Finally, the UK's guidelines on industry best practice to counter nuclear proliferation were accepted onto the NSG's website.

The NSG held an extraordinary meeting on 18 March 2013 to discuss the prospect of Indian membership, which identified a number of areas that require further investigation. Discussions on the issue have continued at subsequent meetings.

2.8 Australia Group

The Australia Group, established in 1985, is an informal forum of countries which, through the harmonisation of export controls, seeks to ensure that exports do not contribute to the development of chemical or biological weapons. Co-ordination of national export control measures assists Australia Group participants to fulfil their obligations under the Chemical Weapons Convention and the Biological and Toxin Weapons Convention. There are currently 42 participants, including all EU Member States and the European Commission.

The UK is one of the most active participating governments within the Group and a major contributor to technical proposals, adopted by consensus, that ensure that the Group's control lists are kept up-to-date. At the June 2013 annual Plenary participants agreed to add extra items to the Syria-specific control list (including those proposed by the UK) to bring it into line with the EU control list. Mexico's application to become a member of the Australia Group was also agreed. The UK took part in outreach visits to non-Australia Group countries: India, China, Pakistan and Malaysia.

2.9 Missile Technology Control Regime

The Missile Technology Control Regime (MTCR) is a voluntary association of countries who work together through the coordination of export licensing efforts to prevent the proliferation of WMD-capable unmanned delivery systems. The regime currently has 34 Partners. The UK continues to provide a leading role in the regime including in its technical working group.

The MTCR held its 27th Plenary Meeting in Rome from 14 to 18 October 2013 in order to review and evaluate its activities and to further intensify its efforts to prevent missile programmes and their proliferation.

At the Rome Plenary Partners conducted extensive discussions on missile proliferation-related activities worldwide, including that of developments in specific missile programmes, such as the Democratic People's Republic of Korea, and the proliferation risks they represented. Partners also considered procurement

activities and techniques in support of such programmes; rapid technological change; the role of intangible technology, brokering, and transshipment in facilitating proliferation; and key technology trends in proliferation missile programmes.

A number of technical changes to the export control list were agreed via the Technical Experts Meeting. The UK continues to provide significant technical input working closely with MTCR Partners.

2.10 Wassenaar Arrangement

The Wassenaar Arrangement is the only global multilateral arrangement dealing with the control of exports of conventional weapons and associated sensitive dual-use goods and technologies. It now has 41 participating states, including all EU Member States except Cyprus, the USA, Canada, Russia and Japan. It was established to contribute to regional and international security and stability by promoting transparency and helping to prevent destabilising accumulations of conventional arms. General Working Group meetings took place in May and October 2013, ahead of the 18th Plenary meeting in Vienna in December 2013.

The strength and importance of the Wassenaar Arrangement continues to be in its technical outputs, specifically the control lists which underpin the arms export control regimes of all Participating States and many non-Participating States. The Wassenaar Arrangement produces two control lists – one for conventional weapons (Munitions List) and one for dual-use goods and technologies. Participating States then report to the Wassenaar group if they export controlled arms, goods or technology to non-Wassenaar members.

UK experts play a key role in the Technical Working Groups. The Plenary Meeting in December 2013 approved 122 amendments to the Wassenaar Export Control Lists. A UK proposal on adopting new controls on specific cyber technologies of concern was agreed after almost 18 months of negotiations. These new controls cover equipment and software for creating and delivering “intrusion software” and tools for extracting message content and metadata. The controls will be implemented through the EU’s controls on exports of “dual-use” items. This work to ensure lists are appropriate and implemented also enhances the UK’s prosperity agenda by ensuring a level playing field for industry.

The UK continues to lead a debate within the Wassenaar Arrangement on the regime’s future membership. We also support voluntary adherence to Wassenaar Control Lists by non-participating states.

UK Activities

2.11 Academic Technology Approval Scheme

The Academic Technology Approval Scheme (ATAS) was introduced in November 2007. The scheme seeks to protect certain sensitive technologies relating to weapons of mass destruction and their means of delivery from possible misuse by proliferators.

It is operated with the co-operation of those Institutes of Higher Education that teach sensitive subjects at postgraduate level. Foreign students seeking to study such subjects must first obtain an ATAS certificate. This can be achieved through an online application at no cost to the applicant. The certificate is usually processed within 20 working days of receipt of a completed application.

The scheme makes a small, but significant, contribution to UK counter proliferation efforts. Since its introduction in 2007, the scheme has approved 73, 249 applications and denied clearance in 739 cases.

Section 3

Export Licensing Case Studies

This section contains a selection of case studies that set out Britain's export control policy and practice in action.

Iran

Iran remains subject to an extensive regime of international sanctions as a result of international concerns about its nuclear programme and human rights record. These include a UN ban on the supply of heavy weaponry and nuclear-related technology, and an EU ban on the export of goods such as arms, materials relevant to the Iranian ballistic missile programme, and equipment for the oil and gas industry.

Goods which are not covered by sanctions, such as some military and dual use items, are carefully assessed against the Consolidated EU and National Arms Export Licensing Criteria (known as the Consolidated Criteria), with particular attention paid to equipment which could be used for internal repression (Criterion 2) or diverted to undesirable or unspecified end users (Criterion 7).

Given Iran's poor air safety record, we continue to approve exports to Iran for the civil aviation industry. HMG considers that a ban on all civil aviation goods would have implications for the air safety of the civilian population. Such approvals are consistent with the sanctions regime and include equipment such as aircraft tyres and engine parts. However, applications for aircraft parts have previously been refused when they have been assessed as at risk of diversion to the Iranian military.

Nigeria

The human rights situation in Nigeria has been a concern for some time. Allegations of human rights abuses have been levelled against the police and military when tackling terrorism and crime. In particular, the Government is accused of using excessive force during protests (which are tightly controlled and can turn violent) and in dealing with criminals (i.e. arbitrary arrest and detention). The three northern states of Borno, Adamawa and Yobe have been under a state of emergency since May 2013, as the security forces have tried to counter the threat from the terrorist group Boko Haram. Churches and schools have been vulnerable to attack by Boko Haram, who have also targeted students, worshippers, politicians, members of the government and foreign nationals.

While recognising Boko Haram attacks as a real terrorist threat, foreign governments and civil society groups have often criticised the response of the Nigerian security forces as being disproportionate, indiscriminate and often retaliatory. The UK government has raised these concerns, including the welfare of those held in detention camps, with the Nigerian Government on a regular basis and continues to do so. Since 2013 we have noted an improvement in human rights compliance and a recognition in the highest levels of the government and security forces that these standards must be upheld. The UK remains committed to supporting the Nigerian Government to combat terrorism. Ministers are keenly aware of the need to strike a balance between counter terrorism and military cooperation and human rights compliance.

Any military and counter terrorism cooperation with Nigeria is strictly assessed against our human rights compliance standards before it is approved and in many cases will include human rights training and capacity building.

Given these human rights concerns, when we judge licence applications against the Consolidated Criteria, we pay particular attention to internal repression (Criterion 2) and internal conflict (Criterion 3). We will continue to monitor developments closely, paying particular attention to the conduct of security forces, including recent changes to the command and control structures within the Nigeria armed forces, as well as the conditions in detention centres.

Egypt

Since the unrest of 2011 we have been carefully assessing licences for Egypt, with particular attention to internal repression (Criterion 2) and internal conflict (Criterion 3).

Following the increased instability during the summer of 2013 the EU Foreign Affairs Council (FAC) introduced a suspension on arms exports for Egypt – goods are suspended if we judge that they might be used for internal repression. This is a lower threshold than Criterion 2 which requires a ‘clear risk’ that the goods might be used for internal repression.

In line with the FAC conclusions, we fully re-assessed all licences for Egypt and have since assessed applications under the suspension threshold. A number of applications have been revoked or suspended, including licences for helicopter components, specific military communications equipment and cryptographic surveillance equipment.

We continue to assess each licence on a case-by-case basis and closely monitor the security situation. When the FAC decides to lift the suspension we will revert to our longstanding policy for all licences and we will revoke any licence that is not consistent with that policy.

Pakistan

Pakistan suffers from a very challenging security environment. It faces widespread insurgency and high levels of violent crime. In excess of 40,000 civilians have died from terrorism since 2001. The Army frequently takes part in internal military operations and policing is inherently difficult.

The main concerns for exports to Pakistan are whether goods might be diverted into unlawful programmes (Criterion 7), used in internal repression (Criterion 2), or contribute to either internal conflicts or external tensions (Criteria 3 and 4).

The human rights situation is of particular concern. International organisations report that the Police and Army have been responsible for torture, inhuman and degrading treatment, arbitrary detention, extrajudicial killing and deaths in custody, especially in the Federally Administered Tribal Areas (FATA), Khyber Pakhtunkhwa and Balochistan. All applications for weapons or protective equipment are therefore carefully scrutinised under Criteria 2 and 3, and are often referred to Ministers.

Relations between India and Pakistan have been strained by a number of historical and political issues, including the Kashmir dispute and past military conflicts. Bilateral relations deteriorated sharply after India blamed the Pakistan-based Lashkar-e-Taiba terrorist group for the Mumbai hotel attack in 2008. All applications are carefully assessed under Criterion 4 in light of any changing circumstances.

Last year, licences were approved for defensive training and counter-Improvised Explosive Device (IED) equipment, as well as protective equipment such as body armour for the Navy and Air Force. There were around 20 licence refusals, the majority of which related to equipment that might be diverted to WMD programmes or to end users with whom there were significant Criteria concerns. We also refused a £6.5million export of several thousand small arms and ammunition for sporting purposes due to concerns that they might contribute to repression and conflict in the region.

Saudi Arabia

Saudi Arabia is a key strategic security partner. An integral element of the bilateral relationship is in the defence field, including military to military partnerships and the export of defence equipment. This close relationship with Saudi partners allows us greater insight and clarity about capabilities, the intentions and risks of exporting arms to Saudi Arabia.

Most UK arms exports are for the supply of military platforms for legitimate sovereign defence such as Eurofighter Typhoon to the Royal Saudi Air Force. The Saudi Armed Forces and UK partners enjoy a close working relationship, including on issues of adherence to codes of conduct on human rights, non-lethal engagement and the appropriate use and escalations in the use of force. Because of this and the level of professionalism and conduct of Saudi Armed Forces partners, exports generally raise no Criteria concerns.

However, Saudi Arabia is on the Foreign and Commonwealth Office's list of Countries of Human Rights Concern and as such is the subject of attention from Parliament, NGOs and the media. As with all export licences, we continue to consider applications on a case-by-case basis and assess them against the Consolidated Criteria, looking at local and the overall prevailing circumstances at the time and consulting internal and external stakeholders as appropriate.

Anti Piracy

The Government is playing a leading role in international operations aimed at combating piracy and armed robbery at sea. We give careful consideration to anti-piracy applications for weapons, ammunition, protective and communications equipment from Private Maritime Security Companies (PMSCs) operating onboard vessels under the Consolidated Criteria. The main concerns when assessing these applications are whether the goods might be used in internal repression (Criterion 2) and whether there is a risk that the goods could be diverted or re-exported to undesirable end users (Criterion 7).

In order to mitigate our concerns over Criterion 2 we look for evidence that:

- PMSCs have signed the International Code of Conduct.
- Confirmation that the goods will remain on board the ship for the duration of the journey and that they will only be used by authorised personnel during high risk times.
- The goods will not be used by anyone other than the shipper or authorised persons onboard the ship and will not be sold on to third parties.
- When not in use the goods must be held in a secure armoury.

Under Criterion 7, we recently had concerns that the Maldives National Defence Force could potentially access the weapons stored in the armoury by the PMSC which could then be used to exacerbate tensions in the country following the elections in November 2013. However, we assessed the risk to be low – there are specific procedures in place for storage and use of the weapons and no PMSCs had reported missing weapons as they are obliged to under the International Code of Conduct for Private Security Providers.

Any armed anti-piracy operations and floating armouries in West Africa are against current UK policy and licences to facilitate armed operations there would be rejected.

Section 4

Export Licensing Data and Performance Against Targets During 2013

4.1 Information on licences processed during 2013

The types of licence available are the Standard Individual Export Licence (SIEL), Open Individual Export Licence (OIEL), Open General Export Licence (OGEL), Standard Individual Trade Control Licence (SITCL), Open Individual Trade Control Licence (OITCL), Open General Trade Control Licence (OGTCL), Standard Individual Transshipment Licence (SITL), and Open General Transshipment Licence (OGTL). The following tables provide details of the numbers of each of the main types of licence processed during 2013.

Table 4.I Number of SIELs

Issued	13,578
Revoked	15
Refused	148
NLR*	1,610
Withdrawn/Stopped**	1,515

*No Licence Required

** In Tables 4.I.-4.V "Withdrawn" applications will generally be because an application was withdrawn by the exporter. "Stopped" applications will generally be because an exporter has not provided adequate information to allow the application to proceed, following a Request for Information (RFI) from a Case Officer.

Table 4.II Number of SITLs

Issued	12
Revoked	0
Refused	0
NLR	0
Withdrawn/Stopped	15

Table 4.III Number of OIELs***

Issued	231
Revoked/Reduced	4
Rejected/Removed****	18
NLR	3
Withdrawn, Stopped or Unsuitable (where an exporter does not meet the criteria for an OIEL)	152

*** includes Dealer to Dealer OIELs

**** A rejected OIEL application does not mean that if an exporter applies for a SIEL to make the export, that application will be refused. In many cases where OIEL applications are rejected, exporters are asked to apply for SIELs because these allow closer scrutiny of individual exports, but this does not necessarily mean that this closer scrutiny will result in rejection.

Table 4.IV Number of SITCLs	
Issued	112
Revoked	0
Refused	5
NCLR*****	10
Withdrawn/Stopped	57

***** No Trade Licence Required

Table 4.V Number of OITCLs	
Issued	28
Revoked	0
Refused	5
NCLR	0
Withdrawn, Stopped or Unsuitable (where an exporter does not meet the criteria)	28

4.2 Information on SIELs, SITLs, OIELs, SITCLs and OITCLs

The entry for each destination on the Strategic Export Controls: Report and Statistics website: <https://www.exportcontroldb.bis.gov.uk/> contains the following information:

For SIELs:

- Total value of all applications in respect of which a SIEL was issued for the export of items to the destination concerned during the period, whether the export concerned was permanent or temporary. It should be noted that the value of exports that are actually made under the licences concerned may be less than shown because some of these licences will not be used to make all of the exports authorised and others will not be used at all. In addition, some items are exported only temporarily and later returned to the UK within the validity of the licence.
- The number of licences issued, refused or revoked, split into Military List, dual use items and both (covering licences with military and dual use goods) categories. A (T) at the beginning of a line indicates a Temporary export licence.

For Incorporation:

- Information on goods licensed under SIELs for incorporation and onward export from the destination country is provided in the same format as that for all other SIELs, and includes the same level of information. An aggregated summary of the ultimate destinations for the goods after incorporation is also provided.

For Items covered by Council Regulation 1236/2005 (the 'Torture' Regulation):

- Information provided under this heading is displayed in the same way as for standard SIELs.

For SITLs:

- Information on SITLs is provided in the same format as for SIELs. The licensing information can be found within each destination, under "SIELs – Transshipments". As the items covered by SITLs issued only pass through the UK, it would be misleading to include a 'value' for these licences in the report.

For OIELs:

- The number of licences issued, refused or revoked. (T) indicates a Temporary export licence.
- As OIELs cover multiple shipments of specified goods to specified destinations or specified consignees, exporters holding OIELs are not asked to provide details of the value of goods they propose to ship and it is therefore not possible to provide information on the total value of goods licensed under OIELs issued.

For SITCLs:

- A summary of the items or activities authorised by the licence is given.
- As SITCLs cover the trading of specific goods between overseas source and destination countries, there is no physical export from the UK and traders are not asked to provide information on values.

For OITCLs:

- A summary of the items or activities authorised by the licence is given.
- As OITCLs cover the trading of specific goods between overseas source and destination countries, exporters holding OITCLs are not asked to provide details of the value of goods they propose to trade and it is therefore not possible to provide information on the total value of goods to which those trading activities related.

Special OIELs:

There are four special categories of OIELs:

- Media OIELs: Media OIELs authorise the export of protective clothing and equipment, mainly for the protection of aid agency workers and journalists, in areas of conflict. In addition to military helmets and body armour, the OIELs include NBC (nuclear, biological, chemical) protective items, non-military

4WD civilian vehicles with ballistic protection and specially designed components for any of these items. The OIELs permit these items to be exported to all destinations on a temporary basis only, i.e. the items must be returned to the UK when no longer required. Two were issued in 2013.

- **Continental Shelf OIELs:** Continental Shelf OIELs authorise the export of controlled goods to the UK sector of the Continental Shelf for use only on, or in connection with, offshore installations and associated vessels. Five Continental Shelf OIELs were issued in 2013.
- **Cryptographic OIELs:** Cryptographic OIELs authorise the export of specified cryptography hardware or software and the transfer of specified cryptography technology, to the destinations specified in the licence. These OIELs do not cover hardware, software or technology which includes certain types of cryptanalytic functions. Fifteen Cryptographic OIELs were issued in 2013.
- **Global Project Licences:** Global Project Licences (GPLs) are a form of licence introduced by Framework Agreement partners (France, Germany, Italy, Spain, Sweden and the UK) to streamline the arrangements for licensing military goods and technologies between Partner States where these transfers relate to their participation in specific collaborative defence projects. In relation to the collaborative project, each Partner State will, as appropriate, issue their own GPLs to permit transfers of specified goods and technology where these are required for that programme. The GPLs operate on a similar basis to UK OIELs, and applications for GPLs are assessed against the Consolidated Criteria in the UK, and against the EU Common Position in other Framework Partner countries. None were issued in 2013.

4.3 Technical Assistance Licences

Standard Individual Technical Assistance Licences (SITALs) are issued for separate ad hoc requirements, e.g. repair of a single item, simple maintenance tasks. Open Individual Technical Assistance Licences (OITALs) cover wide ranging contractual issues, which may form the basis of a rolling programme of work.

Under Article 19 of the Export Control Order 2008, as amended, licences are required for the provision of technical assistance for anything with WMD purposes. In 2013 one WMD SITAL was partly refused and none were revoked, whilst one WMD OITAL was issued and one was refused.

Licences are also issued for the provision of technical assistance where it is permitted under exemptions to international sanctions and embargoes. In 2013 no sanctions SITALs and five sanctions OITALs were issued.

4.4 Refusals and revocations

There were 168 refusals or revocations of SIELs and SITCLs in 2013. Within the information relating to each destination, refusals and revocations for both Military and Dual Use goods are grouped by reference to the Rating (control entry) and, where applicable, the Consolidated Criteria which justified their refusal. In addition, Table 4.VI gives a consolidated overview of the number of times each Criterion was used to refuse an export licence application to all destination countries.

Table 4.VI Reasons for Refusals and Revocations of SIEL & SITCL applications

Reason*	Number
Criterion 1 – UK's international obligations and commitments under non-proliferation Treaties and Conventions and export control regimes, particularly with regard to proliferation of weapons of mass destruction or ballistic missiles.	31
Criterion 1 – UK's commitments and obligations to observe UN, EU or OSCE arms embargoes.	30
Criterion 1 – Existence of national embargoes or policy commitments.	22
Criterion 1 – UK's obligations under the Ottawa Convention and the 1998 Land Mines Act.	0
Criterion 2 – Risk of use for internal repression.	34
Criterion 3 – Risk of contributing to internal tensions or conflict in the recipient country.	8
Criterion 4 – Preservation of regional stability.	0
Criterion 5 – National security of the UK, of allies, EU Member States and other friendly countries.	16
Criterion 6 – Behaviour of the buyer country with regard to the international community.	0
Criterion 7 – Risk of diversion or re-export to undesirable end-users.	43
Criterion 8 – Compatibility of the arms exports with the technical and economic capacity of the recipient country.	0

* In a number of cases, the refusals/revocations were made for more than one reason. The Criteria that are quoted may therefore exceed the number of refused cases.

The information above does not include decisions to refuse OIELs or OITCLs in full or in part, to amend the coverage of an OIEL to exclude particular destinations and/or goods, or to revoke an OIEL. This is because OIELs and OITCLs are concessionary licences, and a decision to exclude a particular destination does not preclude a company from applying for SIELs or SITCLs covering some or all of the goods concerned to specified consignees in the relevant destinations.

4.5 Appeals

This section provides information on all appeals against a decision to refuse an application for a SIEL or SITCL, or against a decision to revoke a SIEL or SITCL. An appeal is based on the date on which it was received in ECO, not the date of the original application. During 2013, the government processed 7% of appeals within 20 working days from receipt of all relevant information from the appellant and 39% in 60 working days. Decisions to refuse licences are not taken lightly, and only in those cases where refusal is clearly justified. In this context, appeals against refusals will often raise difficult and complex issues. Appeals are considered at an independent and more senior level than the original licence application, and any new information not available at the time of the application will be taken into account. Every effort is made to deal with all appeals as expeditiously as possible. However, the time taken to decide an appeal can be lengthy due to the need to examine afresh all relevant information. Officials continue to review procedures to streamline the handling of appeals, including additional resources and revised arrangements for consulting Ministers and advisers in other Government Departments. We expect an improvement in performance in 2014.

There is no provision in the licensing procedure for a formal appeal against refusal or revocation decisions on OIELs or OITCLs. This is because such decisions do not prevent a company from applying for SIELs or SITCLs.

In 2013 there were 56 appeals against the original decision to refuse an application for a SIEL. Of these 34 were refused and 20 were upheld outright. One other was upheld with a proviso and another upheld as no licence was required.

4.6 Open General Export Licences (OGELs)

OGELs allow the export or trade of specified controlled goods by any qualifying company, removing the need for exporters to apply for an individual licence, providing the shipment and destinations are eligible under the OGEL and that certain conditions are met. Most OGELs require the exporter or trader to register with the ECO before they use them, and the companies are subject to compliance visits from the ECO to ensure that all the conditions are being met. Failure to meet the conditions can result in

their eligibility to use the licence being withdrawn. There are also a small number of Open General Transshipment Licences for which registration is not required. All OGELs remain in force until they are revoked. The complete list of OGELs in force in 2013 is at Table 4.VII.

In addition, Council Regulation (EC) No 428/2009 (known as the EU Dual-Use Regulation) which establishes an EU-wide regime for the control of exports of dual-use items, software and technology, includes six General Export Authorisations (GEA). These EU GEAs, which permit the export of certain specified dual-use items to the specified non-EU destinations are valid in all EU Member States and are the EU equivalent of UK OGELs.

The EU GEAs are as follows:

- EU001 (previously known as the CGEA) – exports to Australia, Canada, Japan, New Zealand, Norway, Switzerland (including Liechtenstein) and the USA
- EU002 – export of certain dual-use items to certain destinations
- EU003 – export after repair/replacement
- EU004 – temporary export for exhibition or fair
- EU005 – telecommunications
- EU006 – chemicals

Table 4.VII List of OGELs in force in 2013:**Dual Use Goods OGELs:** dual use items are goods and technology with both military and civilian applications.

1. Chemicals
2. Cryptographic Development
3. Export After Exhibition: Dual-Use Items
4. Export After Repair/replacement Under warranty: Dual-Use Items
5. Export For Repair/Replacement under Warranty: Dual-Use Items
6. Dual-Use Items: Hong Kong Special Administrative Region (HKSAR)
7. International Non-Proliferation Regime De-controls: Dual-Use Items
8. Low Value Shipments
9. Oil and Gas Exploration: Dual-Use Items
10. Technology for Dual-Use Items
11. Turkey
12. Specified dual-use items

Military Goods OGELs: permit the export of less restricted controlled military goods.

1. Access Overseas to Software and Technology for Military Goods: Individual Use Only
2. Export After Exhibition or Demonstration: Military Goods
3. Export After Repair/replacement under warranty: Military Goods
4. Export For Repair/Replacement Under Warranty: Military Goods
5. Exports or Transfers in Support of UK Government Defence contracts
6. Historic Military Goods
7. Military Components
8. Military Goods (renamed Military Goods, Software and Technology on 11/1/13)
9. Military Goods: Collaborative Project Typhoon
10. Military Goods: For Demonstration
11. Military Goods: Government or NATO End-Use (renamed Military Goods, Software and Technology: Government or NATO End-Use on 11/1/13)
12. Export for Exhibition: Military Goods
13. Software and Source Code for Military Goods
14. Military Surplus Vehicles
15. Technology for Military Goods
16. Vintage Aircraft
17. Historic Military Vehicles and Artillery Pieces
18. Open General Export Licence (Certified Companies)
19. Open General Export Licence (Exports Under The US-UK Defence Trade Cooperation Treaty)
20. International Non-proliferation Regime Decontrols: Military Items
21. Accompanied Personal Effects: Sporting Firearms (Revoked on 29/9/13)

OGELs which cover both Military and Dual Use Goods:
1. Military and Dual-Use Goods: UK Forces Deployed in embargoed destinations
2. Military and Dual-Use Goods: UK Forces Deployed in non-embargoed destinations
3. Exports of non-lethal military and Dual-Use goods: to UK Diplomatic Missions or Consular Posts
Open General Transshipment Licences (OGTLs): allow, subject to certain conditions, controlled goods to be exported from one country to another via the UK.
1. Open General Transshipment Licence
2. Open General Transshipment Licence (Sporting Guns)
3. Open General Transshipment Licence (Postal Packets)
4. Open General Transshipment Licence (Dual-Use Goods: Hong Kong Special Administrative Region)
Open General Trade Control Licences (OGTCLs): control the trafficking and brokering activity between one third country and another where the transaction or deal is brokered in the UK or by a UK person.
1. Open General Trade Control Licence (Category C Goods)
2. Open General Trade Control Licence (Trade and Transportation: Small Arms and light weapons)
3. Open General Trade Control Licence (Insurance or Re-Insurance)
4. Open General Trade Control Licence (Maritime Anti-Piracy)

4.7 Performance in processing licence applications

The ECO sets out the Government's commitments to exporters in a Service and Performance Code. The performance target is to finalise 70% of applications for SIELs within 20 working days, and as of 15 July 2013, 99% within 60 working days. The targets apply as soon as the applicant has supplied full documentation necessary to support their application. Table 4.VIII gives a breakdown of the performance of Government in the period against these two main published SIELs targets. The table also highlights the number of applications processed compared to previous years. Table 4.IX presents an illustration of the number of applications completed within the specified timeframe.

The targets do not apply to applications for:

- OIELs – because of the very wide variation in the goods and destination coverage of such licences.
- OITCLs – because of the wide variation in goods or activities, sources and destinations covered by such licences.
- Applications for licences to export goods that are subject to control solely because of UN sanctions.

Table 4.VIII SIELs and SITCLs Processing Performance (including amendments)

	2013	2012	2011
Number Finalised (with % increase on previous year)	17,610 (+3.3%)	17,045 (+ 4.1%)	16,376 (+5.5%)
Finalised within 20 working days	79%	71%	65%
Finalised within 60 working days	98%	95%	95%

Table 4.IX

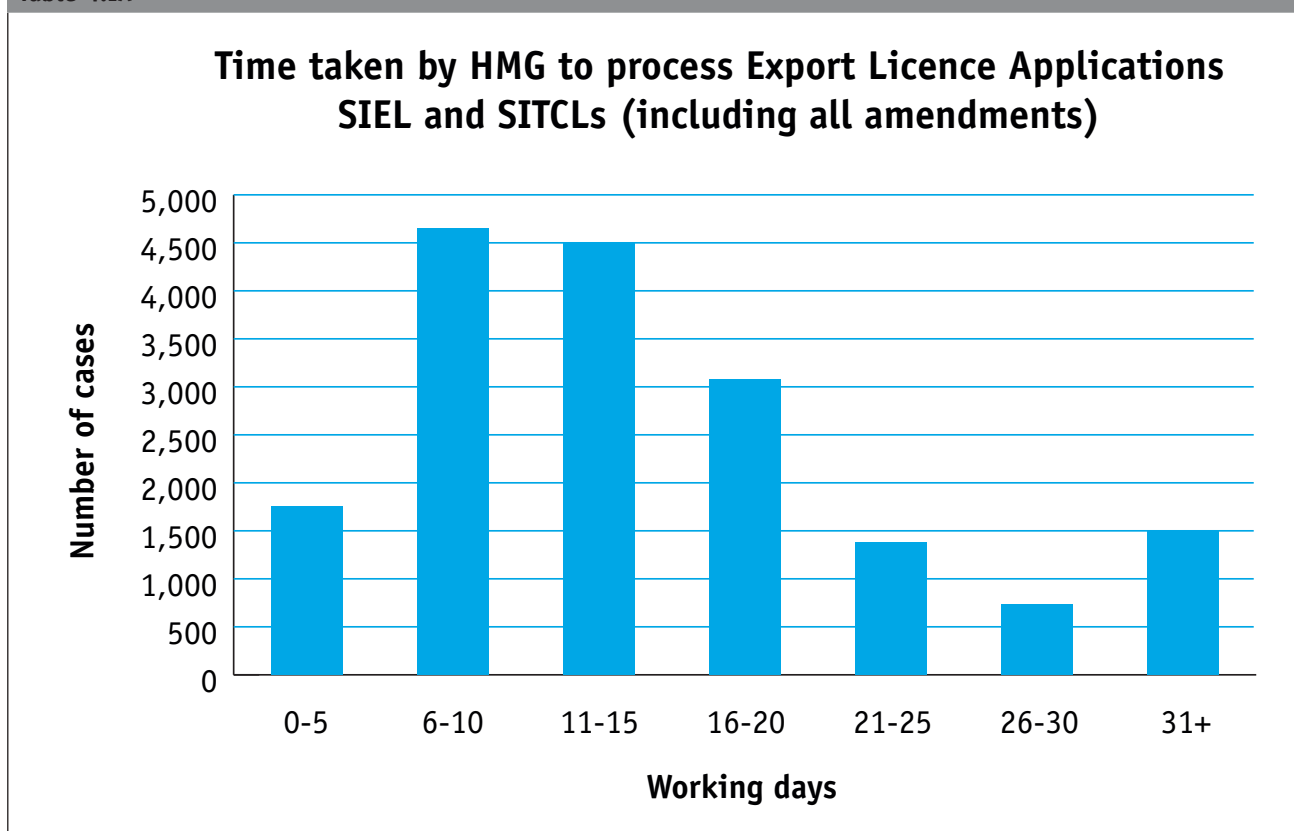


Table 4.X Appeals performance

	2013	2012	2011
Appeals finalised within 20 working days	7%	23%	26%
Appeals finalised within 60 working days	39%	60%	71%

The Government has a target of processing 60% of appeals within 20 working days from receipt of all relevant information from the appellant and 95% in 60 working days. These targets do not apply to appeals concerning goods that are controlled solely because of UN sanctions. Of the 56 appeals decided in 2013, none fell into this category.

Section 5

Compliance and Enforcement

5.1 Compliance

The ECO Compliance Inspectors continued to audit companies and individuals holding Open Individual and Open General Licences, both for exports and trade activities. These audits establish whether the terms and conditions of the licences are being adhered to by exporters. Audits fall within three categories:

1. First time visits. These are for businesses that are new users of open licences. They are audited usually within six months of their first registration.
2. Routine visits. For businesses that have had a first audit and continue to hold open licences. The time interval between routine audits depends on risk and whether changes in circumstances have arisen, such as a business take-over or change in staff.
3. Revisits. Revisits arise when a company has been found non-compliant at an audit and as a result are audited again within six – eight months.

The compliance team use predefined criteria, agreed with Her Majesty's Revenue and Customs (HMRC), to ascertain the level of compliance at audit and to ensure consistency in the auditing of companies. The majority of audits are undertaken in the form of site visits although sometimes these can be carried out remotely. The Compliance Inspectors also assist with ECO Awareness Seminars, undertaking 13 events in 2013.

In 2013, some resource was diverted from auditing to enable the compliance team to undertake a strategic review to determine how resources could be best utilised given the increase in applicants for open licences, guided by the principles set out in the Hampton Review. A number of actions were identified, some of which have already been implemented, such as electronic issue of

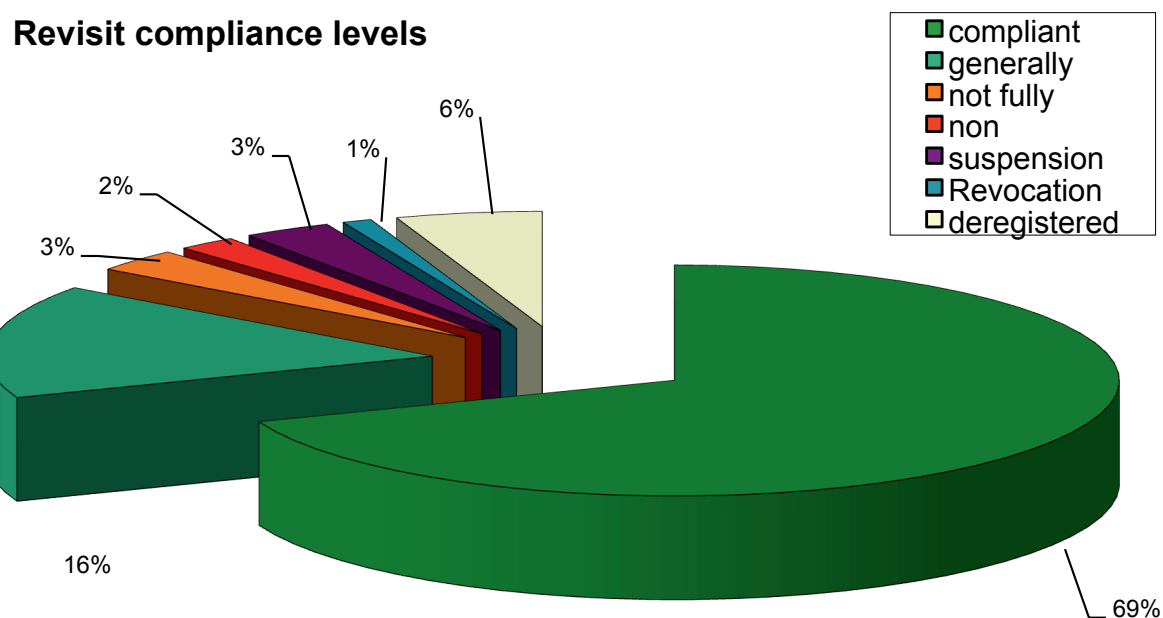
warning letters, inspectors being allocated to regions nearest to them and removal of open licences that have not been used. During the review, the team identified that there were unacceptable levels of non-compliance with first time users of open licences. The team has now introduced the principle that first time licence holders will be contacted by their inspector within a month of receipt of an open licence. We have recently introduced these new processes and will review these throughout the year to determine if the changes to our procedures provide tangible benefits.

The following table shows the compliance levels of the 706 scheduled company audits between January 2013 and December 2013, a 42% increase in audits from the previous year. Unfortunately 21 companies cancelled their audits at the last moment, reducing the efficiency of the team.

Table 5.I			
Of those companies audited, the compliance % levels of licence holders for the period 2013 were:			
		2013	2012
Number of audits where no audit undertaken or inconclusive		101	92
% of first visits	compliant	47	56
	generally compliant	14	14
	not fully compliant	16	7
	non compliant	23	23
% of Routine visits	compliant	54	55
	generally compliant	13	19
	not fully compliant	13	9
	non compliant	20	18
% of revisits	compliant	75	67
	generally compliant	16	10
	not fully compliant	3	8
	non compliant	6	14

Some 108 warning letters were issued to Company Directors during 2013 where breaches of licence conditions were found during visits. These letters also outlined the steps necessary to ensure compliance at revisit. During a visit four companies were found to have repeated serious compliance errors identified at earlier audits. As a result, all four companies had their licence suspended for a period of three months. Of these four companies, three were found to be compliant with the terms of their licences when revisited. The one revocation was due to the company failing to respond to ECO correspondence.

Table 5.II Detailed breakdown of outcomes for companies revisited



5.2 Enforcement activity undertaken by HMRC, Border Force and the Crown Prosecution Service.

Enforcement Activity

HMRC, Border Force and the Crown Prosecution Service have continued to undertake a wide range of enforcement activity. The following outcomes were achieved during the 2013-14 financial year:

- 450 seizures of strategic goods in breach of licensing requirements or sanctions and embargoes (see table 5.III).
- 138 catch-all cases where goods subject to end use control were prevented from leaving the UK.
- Eight compound penalties were paid to HMRC, totalling £447,000.
- One successful criminal prosecution.

Table 5.III Number of Strategic Export and Sanctions Seizures per Financial Year

2006-07	44
2007-08	55
2008-09	50
2009-10	115
2010-11	134
2011-12	141
2012-13	280
2013-14	450

Table 5.IV Successful strategic trade prosecutions – 1st April 2013 to 30th March 2014

Year	Goods	Destination	Individual or Company	Offence	Penalty
2013	K8 Fighter Aircraft and designated parts	Ghana	Christopher McDowell and Wellfind Ltd	Convicted of being knowingly concerned in the supply, delivery, transfer, acquisition or disposal of controlled goods with intent to evade the prohibition thereon, contrary to Article 9(2) of the Trade in Goods (Control) Order 2003.	Guilty on one count and sentenced to two years imprisonment suspended for two years on completion of 200 hours community service

5.3 HMRC, Border Force and Crown Prosecution Service Resources on Outreach

Working with Industry

HMRC, Border Force and the Crown Prosecution Service continue to work with BIS to contribute to raising awareness amongst traders of strategic goods in the UK through educational trade events and conferences.

HMRC also receives voluntary disclosures from exporters. These voluntary disclosures are assessed by HMRC and appropriate action taken. This action can range from issuing a warning letter, through to compounding⁴ or criminal prosecution, depending on the specific details of the disclosure.

International Outreach

HMRC, Border Force and the Crown Prosecution Service continue to strengthen links with other enforcement agencies overseas. This work is undertaken to enhance the capability of international partners and thereby reduce the global risks posed by illicit trading of strategic goods.

Outreach includes visits to countries developing strategic trade control systems and meeting international partners in the UK to discuss good practice on enforcement activity.

Bilateral outreach events included a visit to Mexico, in conjunction with US and UN expert groups, to share expertise on risk analysis and supply chain management. HMRC also met with officials from Brazilian Customs to share experience gained enforcing strategic export controls during the 2012 Olympic and Paralympic Games.

HMRC Outreach: Organization for Security and Co-operation in Europe (OSCE)

In April 2013, a HMRC and Crown Prosecution Service team delivered a training seminar to international law enforcement partners on the criminal investigation and prosecution of arms brokering. The seminar was funded by the EU and developed in coordination with the OSCE. The three day event covered topics such as the UK's trafficking and brokering controls, development of legislation, intelligence management and criminal investigation and prosecution techniques. The seminar was delivered to representatives from law enforcement agencies from 12 OSCE member countries, with particular interest being shown in the UK's use of compounding as an alternative to prosecution. The OSCE had specifically requested the UK develop this seminar as the UK is one of only two countries to have successfully prosecuted an arms brokering case.

HMRC also supports the four international Export Control Regimes (ECRs): the Wassenaar Arrangement, the Nuclear Suppliers Group, the Australia Group, and the Missile Technology Control Regime. The expert groups of these organisations underpin national strategic trade controls and aim to improve those controls by sharing expertise and good practice. In 2013, HMRC contributed to the expert groups of all four ECRs, sharing knowledge on a wide range of topics, including UK experience on outreach to industry and compounding.

⁴ A Customs-specific financial penalty, issued in lieu of prosecution.

Section 6

Gifted Equipment

The Government gifts equipment to overseas governments in support of wider security and foreign policy aims. The MOD manages the assessment of the gifting process and seeks advice on gifting proposals from advisers in MOD, FCO and DFID. As a matter of policy, all proposals to gift controlled military equipment and dual-use equipment are assessed against the Consolidated Criteria by relevant Government departments in the same way as commercial applications and to the same degree of rigour. Where controlled military equipment gifts are approved these are exported under a Crown exemption letter and therefore do not require an export or trade licence. Where dual-use equipment gifts are approved, export licence coverage must be in place using the open licence for the export of dual-use goods by the Crown.

Table 6.I Equipment gifted by the Government in 2013

Country	End user	Goods Description	Goods Value £
Afghanistan	Helmand Provincial Authorities – Government of the Islamic Republic of Afghanistan	Armoured Utility Vehicles.	116,000
Afghanistan	United Nations Development Programme (UNDP) and United Nations Office of Project Services (UNOPS)	Pod containers. Armoured Utility Vehicles. Electric equipment for generators. Generators. Pre-used blast walls. Pre-used office equipment and living fixtures and fittings.	204,679
Afghanistan	Helmand Department for Public Works (DPW)	Logistical support bridges and associated maintenance equipment.	2,647,000
Jordan	SMT, Jordanian Armed Forces	3 Armoured Utility Vehicles.	274,305

Table 6.I *(continued)*

Jordan	Jordanian Armed Forces	2 Ambulances. Combat Body Armour. Land Rovers. Combat Helmet. Night Vision Sights. 4x4 Cargo Trucks. Water Bowser.	449,936
Kazakhstan	Kazakhstan Ministry of Defence	30 Quad bikes and trailers.	150,000
Kazakhstan	Kazakhstan Ministry of Defence	150 Lightweight Infrared Observation Night thermal cameras (LION).	225,000
Lebanon	Lebanese Armed Forces	Ballistic vests and plates. Ballistic helmets. Border watchtowers. Engineering supplies. Utility Vehicles. Day/night cameras. Binoculars. Vehicle trailers. Defensive barriers. HF and VHF communications equipment.	9,010,542
Pakistan	Pakistan Ministry of the Interior	Counter-Improvised Explosive Device and Explosive Ordinance Disposal equipment. Utility vehicle converted for Explosive Ordinance Disposal. X-ray generator and spare batteries.	3,278,000
Pakistan	Pakistan Counter IED – Centre of Excellence	Counter-Improvised Explosive Device and Explosive Ordinance Disposal equipment. Utility vehicle converted for Explosive Ordinance Disposal.	345,534
Pakistan	Pakistan Law Enforcement and Military C-IED practitioners	Counter-Improvised Explosive Device and Explosive Ordinance Disposal equipment. X-ray Generator and spare batteries.	1,797,988
Sierra Leone	RSLAF	VHF Communication equipment.	204,284
Somalia	Counter Terrorism Police Unit	Body armour, Laptop, printer.	6,850
Somalia	Somaliland Police Force Rapid Reaction Unit	Assault Rifles and ammunition. HF and VHF communications equipment. Utility vehicles.	167,000
Somalia	Somaliland Immigration Department	Explosive Trace Device.	80,141

Table 6.I (continued)			
Syria	Organisation for Prohibition of Chemical Weapons (UN)	Ballistically protected Utility Vehicle.	278,000
Syria	Free Syrian Army	Logistical equipment – Clothing, small arms holsters, body armour and helmets. Medical equipment. Communications equipment – GPS satnav, satellite phone and VHF communications equipment.	73,835
Syria	Assistance Coordination Unit	CW detector paper, Escape hoods, Nerve Agent Pre-treatment Tablet Set.	730,000
Uganda	Ugandan Peoples Defence Force	Detonating Cord, Electric Detonators, Non electric detonators.	35,661
United States	US DOD	Large Access Device to drill into containers to extract contents and associated spares and training package.	1,670,000

Section 7

Government to Government

7.1 Government to Government Exports

On behalf of the Government, the Disposal Services Authority of the Ministry of Defence disposes of certain military equipment that is surplus to the requirements of the UK Armed Forces. UK export licensing coverage for this is obtained either by industry, or by the customer. Tables 7.I and 7.II give, by destination, the equipment type and quantity of such exports in 2013.

Table 7.I Disposals		
Country	Type of Equipment	Quantity
Brazil	Naval Tyne Engines	3
Chile	Naval Tyne Engines	1
Pakistan	Naval Tyne Engines	1
Singapore	40mm Ammunition	51072
Jordan	DJRP Pods and Spares	5
Belgium	Military Helicopter Spares	–
Denmark	Military Helicopter Spares	–
Germany	Military Helicopter Spares	–
Norway	Military Helicopter Spares	–
Saudi Arabia	Aircraft Spares	–
Chile	Naval Spares	–
Brazil	Naval Spares	–
Romania	Naval Spares	–

*Where there is no quantity given this is due to the item consisting of spare parts.

Table 7.II Other Overseas Transfers		
Country	Type of Equipment	Quantity
South Africa	Starstreak system spares sold to Thales	–
Thailand	Starstreak system spares sold to Thales	–
Turkey	RFA Fort George to LEYAL Ship Recycling Ltd (for recycling)	1
Turkey	HMS Ark Royal to LEYAL Ship Recycling Ltd (for recycling)	1
Turkey	Type 22's HMS Cumberland, HMS Chatham & HMS Campbeltown to LEYAL Ship Recycling Ltd (for recycling)	3
USA	3 Tucano T1 Aircraft (Tail Nos ZF344, ZF209 & ZF409) to Richard Slaney	3
Nigeria	4 Hercules C130 Flap Assemblies and 2 Aileron Equipment sold to Marshalls (On behalf of USAF/NAF)	6
Germany	Fleet Vehicles to various commercial concerns: Bedford, Leyland DAF, Leyland Drop, Landrover 90 & 110, Foden Recovery, Trailers, Box Bodies.	286
Kenya	Fleet Vehicles to various commercial concerns. Bedford 4 Ton, Land Rover 90 & 110, Leyland Drop, Foden Recovery, 1 tonne trailers and 3 quarter tonne trailers.	178

7.2 Government to Government Projects

The UK has a longstanding Government-to-Government defence cooperation programme with the Kingdom of Saudi Arabia, under which the UK has provided Typhoon, Tornado, Hawk and PC-9 aircraft, mine countermeasure vessels, and associated munitions, infrastructure, logistics and manpower support packages. During 2013, the UK has continued to provide substantial support for equipment already in service and delivered Typhoon aircraft to the Royal Saudi Air Force under the arrangements for the eventual supply of seventy-two Typhoon aircraft.

The following table is a summary of the exports that arose in 2013 under Projects supported by the Ministry of Defence Saudi Armed Forces Projects (MODSAP). All goods were exported under export licence obtained by industry. Where a SIEL was issued; that information is included in the corresponding Quarterly Report.

Table 7.III Government-to-Government transfers of equipment between 1 January and 31 December 2013		
Country	Type of Equipment	Quantity
Saudi Arabia	Typhoon aircraft and initial in-service support.	8
	Component repair and re-provisioning, munitions and their sub-assemblies and training support for aircraft and their systems.	70
	Component repair and re-provisioning, munitions and training support for naval vessels and their systems.	–

Annex A

Export Controls: Process and Responsibilities

A.1 Overview

The UK system for the licensing of Strategic Exports is operated by a single Export Licensing and Enforcement Community. This Community comprises nine Government Departments or Agencies: Business, Innovation and Skills (BIS); the Foreign and Commonwealth Office (FCO); the Ministry of Defence (MOD); the Department for International Development (DFID); the Department of Energy and Climate Change (DECC), the Communications-Electronics Security Group (CESG), Her Majesty's Revenue and Customs (HMRC), Border Force (BF) and the Crown Prosecution Service (CPS).

EXPORT LICENSING COMMUNITY JOINT MISSION STATEMENT

"Promoting global security through strategic export controls, facilitating responsible exports"

Guiding Principles

We shall implement effectively the UK's framework of strategic export controls so as to ensure that sensitive goods and technology are kept out of the wrong hands, by assessing all export licence applications against the Consolidated EU and National Arms Export Licensing Criteria (known as the Consolidated Criteria). In so doing we shall facilitate responsible defence exports, as these depend on a sound regime of controls.

We shall administer the licensing system efficiently so that we keep the compliance burden on UK exporters to the minimum. In particular we shall therefore:-

- within the framework of our case-by-case approach, ensure maximum predictability for exporters by taking decisions which are consistent with the Consolidated Criteria and our policy statements;

- aim to meet our published performance indicators, which set us challenging targets for processing applications in a timely manner;
- be transparent about our performance and operations, including by publishing an Annual Report;
- establish a dialogue with exporters – our customers – to enable us to understand their concerns and to help them to understand our requirements. We shall support them in complying with the process through services such as the BIS website, and awareness activities and ratings. We shall keep our licence products under review to ensure they remain appropriate as circumstances change; and measure our performance against others, capture best practice via our outreach visits with other licensing authorities, through attendance at international export control seminars, and through feedback from UK industry.

Broadly speaking, strategic export controls relate to:

- Items that have been specially designed or modified for military use including components;
- Dual-Use items (i.e. those that can be used for both civil or military purposes), including those listed under EC Regulation 428/2009 or on the UK Dual-Use List as well as items caught by the Military and Weapons of Mass Destruction (WMD) end-use controls;

- Transfers of software and technology, including transfers by electronic means e.g. by email, and in some circumstances the provision of technical assistance, related to the above;
- Goods that might be used for capital punishment, torture or internal repression;
- Items and activities which are controlled to destinations, or to entities or persons, subject to UN, EU, OSCE and UK sanctions and embargoes.

The Export Control Organisation (ECO) at BIS is the licensing authority for strategic exports in the United Kingdom. It sets out the regulatory framework under which licence applications are considered, and the Secretary of State for Business, Innovation and Skills takes the formal decision to issue or refuse export licence applications, and where necessary to suspend or revoke extant licences in accordance with the applicable legislation and announced policy.

The FCO, MOD and DFID act in a policy advisory capacity, providing the ECO with advice and analysis on the foreign, defence and international development policy aspects relevant to consideration of export licence applications against the Consolidated Criteria and other relevant announced policies.

CESG, within GCHQ, is the UK Government's national technical authority for information security. They assess goods involving sensitive communications or computer technology.

DECC plays a key role in the UK's biological, chemical and nuclear non-proliferation policy, for example by making sure the UK continues to meet its obligations under the Chemical Weapons Convention (CWC). They assess goods involving non-proliferation issues.

HMRC has responsibility for the enforcement of export and trade controls as well as sanctions and embargoes. HMRC works with Border Force to detect breaches and to pursue prosecutions through the Central Fraud Group within the Crown Prosecution Service.

A.2 Strategic Export Control Legislation

The basic statutory framework for export controls is set out in the Export Control Act 2002 (the "2002 Act") which is administered by the Secretary of State for BIS. The 2002 Act and its secondary legislation were the culmination of efforts to address the failings identified by Lord Scott in his 1996 *Report of the Inquiry into Export of Defence Equipment and Dual-Use Goods to Iraq and Related Prosecutions*. The 2002 Act includes powers to:

- impose controls on exports from the UK;
- impose controls on the transfer of technology from the UK and by UK persons anywhere by any means (other than by the export of goods);
- impose controls on the provision of technical assistance overseas;
- impose controls on the acquisition, disposal or movement of goods or on activities which facilitate such acquisition, disposal or movement (this is often referred to as trafficking and brokering or simply as "trade");
- apply measures in order to give effect to EU legislation on controls on dual-use items (i.e. items with a civil and potential military application).

There are restrictions to the imposition of these controls, which are specified in section 5 to the Act. In particular the 2002 Act sets out the purposes for which controls can be imposed, although controls may be applied in other circumstances provided the control order imposing them expires within 12 months. It also specifies the Parliamentary procedures which must be followed in making secondary legislation, and requires the Secretary of State to publish "guidance" on the operation of the controls and to lay an Annual Report before Parliament.

The Secretary of State has made a number of individual orders under the 2002 Act, which are now consolidated into one order, the Export Control Order 2008 (SI. 2008/3231) (the 2008 Order) which came into force on 6 April 2009, so that the domestic legislation on strategic controls could be found in one place. As well as consolidating previous legislation, the 2008 Order also made some changes following the Government's 2007 post-implementation review of export control legislation. These changes were described in the 2009 Annual Report.

The 2008 Order is now the main piece of domestic export control legislation. It covers export and transfer controls (Part 2), technical assistance controls (Part 3) and trade ("trafficking and brokering") controls (Part 4). It deals with licensing in Part 5, and Part 6 sets out provisions for enforcement of the controls, including offences and penalties.

There are a number of important pieces of directly applicable EU legislation applying to strategic export controls, where regulation of the export from the EU of these items falls within the EU's Common Commercial Policy. In some cases elements of this legislation is implemented or is supplemented by provisions of the 2008 Order. The most important EU legislation includes:-

- Council Regulation (EC) 428/2009 of setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items (the “Dual-Use Regulation”). The Dual-Use Regulation sets out the rules for control of exports from the EU, and transit and brokering, of items listed in Annex I (the “EU Dual-Use List”) which is compiled from the control lists of the international export control regimes and the Chemical Weapons Convention; and sets out the rules for transfers within the EU of items listed in Annex IV. The Dual-Use Regulation also contains controls on non-listed items subject to control where they are or may be intended for use in connection with WMD or for certain military end-uses – the so-called WMD and Military End-Use controls.
- Council Regulation (EU) No 258/2012 that establishes export authorisation, import and transit measures for firearms, their parts and components and ammunition in respect of export from the customs territory of the Union to or through third countries. In particular, this Regulation sets out the prior approval procedures that need to be followed before export and transit licences can be granted. The Regulation also contains some simplified procedures for the temporary export or re-export of firearms that cover exports by sport shooters and hunters and where the export or re-export is for the purpose of exhibition or repair.
- Council Regulation (EC) 1236/2005 of 27 June 2005 concerning trade in certain goods which could be used for capital punishment, torture or other cruel, inhumane or degrading treatment or punishment (the “Torture Regulation”).
- EU Decisions and Regulations giving effect to United Nations Security Council Resolutions in relation to sanctions against individual countries (e.g. Iran, Libya, etc) and/or giving effect to EU sanctions against individual countries (e.g. Syria, Belarus, etc).

In addition, there is also a body of EU internal market measures dealing with intra-EU trade in strategic goods:

- The Intra-Community Transfers (ICT) Directive 2009/43/EC covering the transfer of defence equipment within the EU. It aims at facilitating the movement of defence goods within the EU while recognising that such transfers must remain subject to national controls. The Directive provides for a system of certification for companies, i.e. a confidence building measure, to ensure that companies importing items from another Member State under a general licence have provisions in place to abide by any re-export provisions which may be applied to those items. In addition the ICT Directive provides for Member States to publish at least four general licences: (i) to the armed forces of a Member State or a body purchasing

on their behalf; (ii) a certified company; (iii) for demonstration, evaluation or exhibition; and (iv) maintenance and repair of previously supplied items. The provisions to give effect in the UK to the requirements of the ICT Directive came into force on 10 August 2012 through amendments to the Export Control Order 2008.

- Council Directive 91/477/EEC on control of the acquisition and possession of weapons, as amended by Directive 2008/51/EC (the “Weapons Directive”). In particular the Weapons Directive sets out simplified procedures for transfers of civilian firearms by sports shooters in possession of a European Firearms Pass (implemented through article 15 of the 2008 Order) and for transfers between authorised dealers in different Member States (implemented through the “Dealer to Dealer” licence described in A6 below).

Where the powers of the Export Control Act 2002 are insufficient to give effect to International export control requirements (which occasionally happens in the context of UN or EU sanctions), it is possible to rely on the powers of the United Nations Act 1946 or, if the controls stem from EU legislation, section 2(2) of the European Communities Act 1972.

UK legislation may be accessed at www.legislation.gov.uk; EU legislation is published in the Official Journal of the European Union and may be accessed at <http://eur-lex.europa.eu/en/index.htm>

A.3 Categories of Items and Activities Subject to Control

In assessing applications for individual licences, on the basis of the information supplied by the exporter, officials in the ECO will first determine whether or not the items are controlled and, if so, under which entry in the relevant legislation; the relevant alphanumeric entry is known as the “rating” of the items. Items and activities subject to control for strategic reasons are as follows:

- Exports of items listed in Schedule 2 of the Export Control Order 2008 (the UK Military List). The rating will be of the format “MLxx” or “PL5xxx”.
- Exports of items listed in Schedule 3 of the Export Control Order 2008 (UK Dual-Use List). The rating will be of the format “PL800x” or “PL900x”.
- Trade activities as specified in articles 20 – 25 of the Export Control Order 2008. The three risk-based categories of goods (A, B and C) are specified in article 2 and Schedule 1 of the Export Control Order 2008, and “embargoed destinations” are specified in Parts 1 and 2 of Schedule 4 of the Export Control Order 2008.

- Exports of items listed in Annex I to Council Regulation (EC) 428/2009 setting up a Community regime for the control of exports, transfer, brokering and transit of dual-use items (EU Dual-Use List). The EU Dual-Use List is divided into 10 Categories (numbered 0 to 9) and 5 sub-Categories (denoted by A to E), with each unique item identified by at least a further 3-digit numeric code. The rating is therefore of the form 0A002 or 7E101.
- Brokering services for items listed in Annex I of the Dual-Use Regulation where the broker has been informed by the competent authorities of the EU Member State where the broker is established that the items are or may be intended for “WMD Purposes”⁵. If the broker is aware of such an end-use the broker must contact the relevant national authorities who will decide whether or not it is expedient to make the transaction subject to a licence.
- Items that the exporter has been told, knows or suspects are or may be intended for “WMD Purposes”. This is the “WMD end-use” or “catch-all” control and goods controlled for these reasons are given the rating “End-Use”.
- The transfer of technology by any means is controlled where the person making the transfer knows or has been made aware that the technology is for “WMD Purposes” outside the EU.
- The provision of technical assistance is controlled where the provider knows or has been made aware that the technical assistance will be used for “WMD Purposes” outside the EU.
- Components or production equipment that the exporter has been told, knows or suspects are or may be intended for a military end-use⁶ in a country subject to certain types of arms embargo, or for use as parts or components of military list items which have been exported in breach of United Kingdom export controls. This is the “Military End-Use” control and these items are given the rating “MEND”.
- Exports of items listed in Council Regulation (EC) 1236/2005 (the “torture” Regulation) setting up a Community Regime concerning trade in certain equipment and products which could be used for capital punishment, torture or other cruel, inhuman or degrading treatment or punishment. The rating for these items is prefixed with “HR”.

⁵ “WMD Purposes” means use in connection with the development, production, handling, operation, maintenance, storage, detection, identification or dissemination of chemical, biological or nuclear weapons or other nuclear explosive devices, or the development, production, maintenance or storage of missiles capable of delivering such weapons.

⁶ i.e. a: incorporation into military items listed in the military list; b: use of production, test or analytical equipment and components therefore, for the development, production or maintenance of military list items; or c: use of any unfinished products in a plant for the production of military list items.

- Export, brokering or transfer of items, or provision of services, controlled under destination-specific UN or EU sanctions. Such items are rated using a code representing the country subject to sanctions (e.g. “IRN” for items subject to Iran sanctions).
- Transit or transshipment of controlled items through the UK as set out in Article 17 of the Export Control Order 2008.

Where an item or activity is controlled, the exporter or trader must apply to the ECO for an export or trade control licence.

A.4 Assessment of Export Licence Applications

The Export Control Act 2002 requires the Secretary of State to publish “guidance” on the operation of the controls. The main guidance applying throughout 2013 was the Consolidated Criteria, announced to Parliament on 26 October 2000 by the then Minister of State at the Foreign & Commonwealth Office, the Rt Hon Peter Hain MP. This sets out eight criteria against which export licence applications (ELA) are assessed. The preamble to the Consolidated Criteria state that they shall apply to export licence applications for (i) military items, (ii) items on the EU dual-use list where the end-user is the armed forces or internal security forces of the recipient country, and (iii) dual-use items subject to national control; while the Consolidated Criteria say nothing about any other type of application our practice, reflected in the Government’s public statements, is to apply them to all applications.

The Criteria are not applied mechanistically; rather each application is assessed on a case-by-case basis taking into account all the relevant facts and circumstances of that particular case. A licence would not be granted if to do so would be a breach of the Criteria. The full text of the Criteria as announced to Parliament is given in Section A.8.

On 8 December 2008 the EU adopted Common Position 944/2008/CSFP defining common rules governing the control of exports of military technology and equipment.

The Common Position replaces the Code of Conduct on control of exports of military technology and equipment agreed in 1991 and 1992. It establishes that each Member State must assess, on a case-by-case basis, the export licence applications made to it for items on the EU common military list, and for dual-use items where “there are serious grounds for believing that the end-user is the armed forces or internal security forces in the recipient country”. There are only minor differences between the eight Criteria of the Common Position and the Consolidated Criteria. The Common Position does not prevent Member States from adopting more restrictive policies.

From time to time other policies are announced to Parliament. Examples include the Written Ministerial Statements of 9 February and 6 July 2012 by the then Parliamentary Under Secretary at the Foreign & Commonwealth Office, the Rt Hon Alastair Burt MP, regarding export of tasers; and the Written Ministerial Statement of 26 April 2012 by the Rt Hon Dr Vincent Cable MP, Secretary of State for Business, Innovation and Skills, regarding export and trade of controlled goods to Argentina.

A.5 Strategic Export Licence Application Process

Applications for Export, Trade (“brokering”) or Transshipment Licences for strategically controlled goods are submitted electronically to the ECO at BIS via the SPIRE licensing database. Other government departments are then consulted as appropriate before a decision is reached on whether to issue or refuse a licence.

The Arms Export Policy Department at the FCO conducts a case-by-case risk assessment of each application, taking account of the possible uses of the equipment to be exported, the destination country and the end user. Detailed political and human rights reporting and advice is sought as necessary from other FCO departments and the FCO’s network of diplomatic posts overseas. Finely balanced and sensitive applications are referred to FCO Ministers for a final recommendation.

MOD advice on export licence applications similarly reflects the results of an internal case-by-case risk assessment process that brings together advice from a number of areas. This involves seeking the views of those responsible for protecting the capability of the UK’s Armed Forces, and specialists from the security and intelligence fields. Separately, MOD coordinates a security procedure for the Government (the MOD Form 680 process) to control the release of classified equipment or information to foreign entities. Generally, the same advisers that consider export licence applications assess MOD Form 680 applications.

DFID considers export licence applications destined to all International Development Association eligible countries against Criterion Eight (i.e. whether the proposed export would seriously undermine the recipient country’s economy, and whether the export would seriously hamper the sustainable development of the recipient country). DFID may also ask to see applications in respect of other countries of concern, as the Department has a significant interest in exports that might contribute to conflict or human rights abuses.

Further detail on the role of different Departments in making assessments against the Criteria are given in the table below:

Criterion One

When assessing an Export Licence Application (ELA) under Criterion One, the International Organisations Department at the FCO is consulted to confirm whether the country of final destination is currently subject to any embargoes or other relevant commitments.

Criterion Two

When assessing an ELA under Criterion Two, British Diplomatic Posts, Geographical Desks and the Human Rights and Democracy Department at the FCO are consulted if the end destination of a proposed export is of concern.

Criterion Three

When assessing an ELA under Criterion Three, British Diplomatic Posts and Geographical Desks at the FCO are consulted to assess the risk of a potential export provoking or prolonging armed conflict or aggravating existing tensions or conflicts in the country of final destination.

Criterion Four

When assessing an ELA under Criterion Four, the views from staff at the British Diplomatic Post(s) in the country of destination and Geographical Desks at the FCO are sought to assess the peace, security and stability of the region.

Criterion Five

When assessing an ELA under Criterion Five, the MOD is consulted to consider whether a proposed export could have an impact on the security of the UK, UK assets overseas and the security of allies, EU member states and other friendly countries.

Criterion Six

When assessing an ELA under Criterion Six, the FCO is consulted to assess the behaviour of the buyer country with regard to the international community, in particular its attitude to terrorism, the nature of its alliances and respect for international law.

Criterion Seven

When assessing an ELA under Criterion Seven, staff at the MOD and FCO are consulted if the proposed export could have a military end-use or if there are concerns about the military capabilities of the importing country. An assessment is also made of whether the goods could be diverted to an undesirable end-user in either the importing country or to an undesirable end-user in another state.

Criterion Eight

When assessing an ELA under Criterion Eight, DFID is consulted if the importing country is on the World Bank's International Development Association list (Annex B), and the value of the application exceeds the threshold set by the Criterion Eight methodology. DFID then considers the potential impact of the proposed export on the sustainable development of the recipient country.

A.6 Types of Licence

The types of licence available are the Standard Individual Export Licence (SIEL), Open Individual Export Licence (OIEL), Open General Export Licence (OGEL), Standard Individual Trade Control Licence (SITCL), Open Individual Trade Control Licence (OITCL), Open General Trade Control Licence (OGTCL), Standard Individual Transshipment Licence (SITL), and Open General Transshipment Licence (OGTL). This section gives a general description of these different types of licence.

SIELs generally allow shipments of specified items to a specified consignee up to the quantity specified by the licence. Where the export will be permanent SIELs are generally valid for two years or until the quantity specified has been exported, whichever occurs sooner. Where the export is temporary, for example for the purposes of demonstration, trial or evaluation, a SIEL is generally valid for one year only and the items must be returned to the UK before the licence expires.

OIELs are concessionary licences that are specific to an individual exporter and cover multiple shipments of specified items to specified destinations and/or, in some cases, specified consignees. OIELs are generally valid for a period of five years. The exceptions are OIELs for the transfer of military items to destinations in other Member States of the EU, which are valid for three years but may be renewed at the exporter's request; and "Dealer to Dealer" OIELs which allow firearms dealers to export certain categories of firearms and ammunition solely to other gun dealers in the EU only and which are valid for three years. It should be noted that the rejection of an application for an OIEL, amendment to exclude particular destinations and/or items, or the revocation of an OIEL does not prevent a company from applying for SIELs

covering some or all of the items concerned to specified consignees in the relevant destinations. The factors that led to the original decision on the OIEL would be taken into account in the decision on any such SIEL application.

OGELs are pre-published licences that permit the export of specified controlled goods by any qualifying company or person, removing the need for exporters to apply for an individual licence, provided the shipment and destinations are eligible under the OGEL and that the terms and conditions set out in the licence are met. Most OGELs require the exporter to register with the ECO in advance before they use them, and the licence holders are subject to compliance visits from the ECO to ensure that all the conditions are being met. Failure to meet the conditions can result in their ability to use the licence being withdrawn. All OGELs are published on the www.gov.uk website. There are also six EU General Export Authorisations (EUGEAs). These permit the export from the EU of certain specified dual-use items to specified destinations, subject to the terms and conditions of the licences. They are equivalent to OGELs and are available for use by any exporter in the EU. The EUGEAs are contained in Annexes IIa to IIf of the Dual-Use Regulation. OGELs generally remain in force until they are revoked.

A **SITCL** is specific to a named trader and covers involvement in the trading of a specified quantity of specific goods between a specified overseas source country, and between a specified consignor, consignee and end-user in an overseas destination country. 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. Should further similar activity need to take place, a further licence must be applied for. Trade Controls only apply to Category A, B and C goods as specified in Article 2 and Schedule 1 of the Export Control Order 2008. They do not apply to software and technology.

An **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. It should be noted that the refusal of an application for an OITCL, amendment to exclude particular destinations and/or items, or the revocation of an OITCL does not prevent a company from applying for SITCLs covering some or all of the items concerned to specified consignees in the relevant destinations. The factors that led to the original decision on the OITCL would be taken into account in the decision on any such SITCL application.

An **OGTCL** is a pre-published licence that permits the supply of specified goods from specified source countries to specified destination countries, subject to the specific terms and conditions of the licence. There are currently four OGTCLs. A licence is not required for the majority of controlled goods being transhipped through the UK en route from one country to another **pre-determined** destination as these are exempt from control provided the conditions set out in article 17 of the 2008 Order are met. Where these conditions cannot be met a transhipment licence will be required. A transhipment may be made under the provisions of one of the Open General Transhipment Licences (OGTLs) provided, in all cases, that the relevant licence conditions are met including **goods or destinations restrictions**. If the OGTL cannot be used a SITL must be applied for (there is no Open Individual Transhipment Licence).

A.7 HM Revenue and Customs, Border Force and Crown Prosecution Service: Resources on Enforcement

HM Revenue and Customs, Border Force and the Crown Prosecution Service work together to enforce the UK's strategic export controls.

HM Revenue and Customs (HMRC)

HMRC is the UK Customs authority responsible for the implementation of EU customs policy, and for UK compliance with EU customs and international obligations. This includes policy responsibility for enforcement of strategic goods controls.

HMRC has a team that develops and manages strategic export controls, trade controls and sanctions enforcement policy, as well as liaising with the wider cross-Government counter-proliferation community. HMRC also has two specialist operational teams carrying out criminal investigations and intelligence management in this area. Checks on customs export declarations, and supporting documentation for exports from the UK, are conducted by HMRC staff at the National Clearance Hub (NCH). This activity includes checks on BIS export licences.

UK exporters are audited by staff from the HMRC Large Business and Local Compliance functions who also carry out pre-export licence checks on intra-EU transfers of controlled goods.

HMRC assesses any breach of strategic export controls and takes a range of enforcement actions based on the factors surrounding each individual case. HMRC pursues investigation with a view to prosecution where deliberate breaches of export controls occur, and in serious cases involving deliberate exports to sensitive destinations, or involving particularly sensitive goods

or other aggravating circumstances, for example repeat offences.

These types of case will be referred to the Crown Prosecution Service who will determine whether there is sufficient evidence to mount a prosecution, and whether that prosecution is in the public interest.

Where it may not be appropriate, or possible to pursue criminal prosecution HMRC will consider other courses of action. These may include:

- Offering a compound penalty as an alternative to prosecution.
- Restoring goods for a fee.
- Issuing a warning letter.

In addition, HMRC investigates breaches of trade controls, where restricted or controlled goods have been moved from one third country to another by UK nationals. The arrangement of the movement of these goods will have been undertaken either in the UK, or by UK nationals anywhere in the world.

Border Force

Border Force is responsible for deterring and preventing the entry of illegitimate goods, and protecting revenue and legitimate business by preventing and deterring smuggling of taxable or counterfeit goods and identifying under/non declarations.

Border Force has primary responsibility for maintaining UK border security and to achieve this, Border Force conducts an extensive range of checks at the border on people and commodities travelling to and from the UK.

Strategic Exports featured as a very high priority within the Border Force Control Strategy for 2013 and will continue to do so in 2014. As such, resource is allocated proportionately and in line with the perceived threat.

The Border Force Counter-Proliferation Team at Heathrow has specialised knowledge in the detection of the illicit export of strategic goods and sanctions breaches, and works with colleagues across Border Force to detain, disrupt and seize unlicensed or sanctions-breaching goods. These seizures and disruptions can result in criminal investigations by HMRC.

Crown Prosecution Service (CPS)

The CPS is an independent prosecuting authority reporting directly to the Attorney General. A specialist team of CPS prosecutors are responsible for prosecuting cases referred to them by HMRC in respect of export and trade controls or sanctions breaches.

A.8 Consolidated EU and National Arms Export Licensing Criteria

The Government's policy on the Consolidated Criteria was set out to Parliament on 26 October 2000 by the then Minister of State at the Foreign & Commonwealth Office, the Rt Hon Peter Hain MP, (Official Report, Column 200W):

Laura Moffatt: To ask the Secretary of State for Foreign and Commonwealth Affairs what steps the Government have taken to consolidate the UK's national criteria against which the Government assess licence applications to export arms and dual-use equipment with those of the EU Code of Conduct on Arms Exports; and if he will make a statement. [135683]

Mr. Hain: Licences to export arms and other goods controlled for strategic reasons are issued by the Secretary of State for Trade and Industry, acting through the Export Control Organisation of the DTI. All relevant individual licence applications are circulated by DTI to other Government Departments with an interest, as determined by those Departments in line with their own policy responsibilities. These include the Foreign and Commonwealth Office, the Ministry of Defence and the Department for International Development.

In the Foreign Secretary's reply to my hon. Friend the Member for East Ham (Mr. Timms) on 28 July 1997, Official Report, column 27, he set out the criteria which would be used in considering advance approvals for promotion prior to formal application for an export licence, applications for licences to export military equipment, and dual-use goods where there are grounds for believing that the end-user will be the armed forces or internal security forces of the recipient country. As my right hon. Friend said then, the Government are committed to the maintenance of a strong defence industry as part of our industrial base as well as of our defence effort, and recognise that defence exports can also contribute to international stability by strengthening collective defence relationships; but believe that arms transfers must be managed responsibly. We have since taken a range of measures designed to ensure the highest standards of responsibility in our export control policies. These include the adoption during the UK's Presidency of the EU of a Code of Conduct on Arms Exports; the publication of Annual Reports on Strategic Export Controls which are among the most transparent of those of any arms exporting country; the ban on the export of equipment used for torture; the ratification of the Ottawa Convention on anti-personnel landmines and the passage of the Land Mines Act; and our many efforts to combat illicit trafficking in and destabilising accumulations of small arms.

Since the Council of the European Union adopted the EU Code of Conduct on Arms Exports on 8 June 1998, all relevant licence applications have been assessed against the UK's national criteria and those in the Code of Conduct, which represent minimum standards that all member states have agreed to apply. The criteria in the EU Code of Conduct are compatible with those which I announced in July 1997. At the same time there is a large degree of overlap between the two. It is clearly in the interests of Government Departments involved in assessing licence applications, British exporters and other interested parties that the criteria which are used should be set out as clearly and unambiguously as possible.

With immediate effect, therefore, the following consolidated criteria will be used in considering all individual applications for licences to export goods on the Military List, which forms Part III of Schedule 1 to the Export of Goods (Control) Order 1994; advance approvals for promotion prior to formal application for an export licence; and licence applications for the export of dual-use goods as specified in Annexe 1 of Council Decision 94/942/CFSP when there are grounds for believing that the end-user of such goods will be the armed forces or internal security forces or similar entities in the recipient country, or that the goods will be used to produce arms or other goods on the Military List for such end-users. The criteria are based on those in the EU Code of Conduct, incorporating elements from the UK's national criteria where appropriate. As before, they will not be applied mechanistically but on a case-by-case basis, using judgment and common sense. Neither the fact of this consolidation, nor any minor additions or amendments to the wording of the two sets of criteria used before, should be taken to imply any change in policy or in its application.

An export licence will not be issued if the arguments for doing so are outweighed by the need to comply with the UK's international obligations and commitments, by concern that the goods might be used for internal repression or international aggression, by the risks to regional stability or by other considerations as described in these criteria.

CRITERION ONE

Respect for the UK's international commitments, in particular sanctions decreed by the UN Security Council and those decreed by the European Community, agreements on non-proliferation and other subjects, as well as other international obligations.

The Government will not issue an export licence if approval would be inconsistent with, inter alia:

- a. The UK's international obligations and its commitments to enforce UN, OSCE and EU arms embargoes, as well as national embargoes observed by the UK and other commitments regarding the application of strategic export controls;
- b. The UK's international obligations under the Nuclear Non-Proliferation Treaty, the Biological and Toxin Weapons Convention and the Chemical Weapons Convention;
- c. The UK's commitments in the frameworks of the Australia Group, the Missile Technology Control Regime, the Nuclear Suppliers Group and the Wassenaar Arrangement;
- d. The Guidelines for Conventional Arms Transfers agreed by the Permanent Five members of the UN Security Council, and the OSCE Principles Governing Conventional Arms Transfers and the EU Code of Conduct on Arms Exports;
- e. The UK's obligations under the Ottawa Convention and the 1998 Land Mines Act; and the UK's obligations under the Convention on Cluster Munitions and the 2010 Cluster Munitions Act;
- f. The UN Convention on Certain Conventional Weapons.

CRITERION TWO

The respect of human rights and fundamental freedoms in the country of final destination.

Having assessed the recipient country's attitude towards relevant principles established by international human rights instruments, the Government will:

- a. Not issue an export licence if there is a clear risk that the proposed export might be used for internal repression;
- b. Exercise special caution and vigilance in issuing licences, on a case-by-case basis and taking account of the nature of the equipment, to countries where serious violations of human rights have been established by the competent bodies of the UN, the Council of Europe or by the EU.

For these purposes equipment which might be used for internal repression will include, inter alia, equipment where there is evidence of the use of this or similar equipment for internal repression by the proposed end-user, or where there is reason to believe that the equipment will be diverted from its stated end-use or end-user and used for internal repression.

The nature of the equipment will be considered carefully, particularly if it is intended for internal security purposes. Internal repression includes, inter alia, torture and other cruel, inhuman and degrading treatment or punishment; summary, arbitrary or extra-judicial executions; disappearances; arbitrary detentions; and other major suppression or violations of human rights and fundamental freedoms as set out in relevant international human rights instruments, including the Universal Declaration on Human Rights and the International Covenant on Civil and Political Rights.

The Government considers that in some cases, the use of force by a Government within its own borders, for example to preserve law and order against terrorists or other criminals is legitimate and does not constitute internal repression, as long as force is used in accordance with the international human rights standards described above.

CRITERION THREE

The internal situation in the country of final destination, as a function of the existence of tensions or armed conflicts.

The Government will not issue licences for export which would provoke or prolong armed conflicts or aggravate existing tensions or conflicts in the country of final destination.

CRITERION FOUR

Preservation of regional peace, security and stability.

The Government will not issue an export licence if there is a clear risk that the intended recipient would use the proposed export aggressively against another country, or to assert by force a territorial claim. However, a purely theoretical possibility that the items concerned might be used in the future against another state will not of itself lead to a licence being refused.

When considering these risks, the Government will take into account inter alia:

- a. The existence or likelihood of armed conflict between the recipient and another country;
- b. A claim against the territory of a neighbouring country which the recipient has in the past tried or threatened to pursue by means of force;
- c. Whether the equipment would be likely to be used other than for the legitimate national security and defence of the recipient.

The need not to affect adversely regional stability in any significant way, taking into account the balance of forces

between the states of the region concerned, their relative expenditure on defence, the potential for the equipment significantly to enhance the effectiveness of existing capabilities or to improve force projection, and the need not to introduce into the region new capabilities which would be likely to lead to increased tension.

CRITERION FIVE

The national security of the UK, or territories whose external relations are the UK's responsibility, and of allies, EU Member States and other friendly countries.

The Government will take into account:

- a. The potential effect of the proposed export on the UK's defence and security interests or on those of other territories and countries as described above, while recognising that this factor cannot affect consideration of the criteria on respect of human rights and on regional peace, security and stability;
- b. The risk of the goods concerned being used against UK forces or on those of other territories and countries as described above;
- c. The risk of reverse engineering or unintended technology transfer;
- d. The need to protect UK military classified information and capabilities.

CRITERION SIX

The behaviour of the buyer country with regard to the international community, as regards in particular to its attitude to terrorism, the nature of its alliances and respect for international law.

The Government will take into account inter alia the record of the buyer country with regard to:

- a. its support or encouragement of terrorism and international organised crime;
- b. its compliance with its international commitments, in particular on the non-use of force, including under international humanitarian law applicable to international and non-international conflicts;
- c. its commitment to non-proliferation and other areas of arms control and disarmament, in particular the signature, ratification and implementation of relevant arms control and disarmament conventions referred to in sub-para b) of Criterion One.

CRITERION SEVEN

The existence of a risk that the equipment will be diverted within the buyer country or re-exported under undesirable conditions.

In assessing the impact of the proposed export on the importing country and the risk that exported goods might be diverted to an undesirable end-user, the following will be considered:

- a. the legitimate defence and domestic security interests of the recipient country, including any involvement in UN or peace-keeping activity;
- b. the technical capability of the recipient country to use the equipment;
- c. the capability of the recipient country to exert effective export controls.

The Government will pay particular attention to the need to avoid diversion of UK exports to terrorist organisations. Proposed exports of anti-terrorist equipment will be given particularly careful consideration in this context.

CRITERION EIGHT

The compatibility of the arms exports with the technical and economic capacity of the recipient country, taking into account the desirability that states should achieve their legitimate needs of security and defence with the least diversion for armaments of human and economic resources.

The Government will take into account, in the light of information from relevant sources such as United Nations Development Programme, World Bank, IMF and Organisation for Economic Cooperation and Development reports, whether the proposed export would seriously undermine the economy or seriously hamper the sustainable development of the recipient country.

The Government will consider in this context the recipient country's relative levels of military and social expenditure, taking into account also any EU or bilateral aid, and its public finances, balance of payments, external debt, economic and social development and any IMF- or World Bank-sponsored economic reform programme.

OTHER FACTORS

Operative Provision 10 of the EU Code of Conduct specifies that Member States may where appropriate also take into account the effect of proposed exports on their economic, social, commercial and industrial interests, but that these factors will not affect the application of the criteria in the Code.

The Government will thus continue when considering export licence applications to give full weight to the UK's national interest, including:

- a. the potential effect on the UK's economic, financial and commercial interests, including our long-term interests in having stable, democratic trading partners;
- b. the potential effect on the UK's relations with the recipient country;
- c. the potential effect on any collaborative defence production or procurement project with allies or EU partners;
- d. the protection of the UK's essential strategic industrial base.

In the application of the above criteria, account will be taken of reliable evidence, including for example, reporting from diplomatic posts, relevant reports by international bodies, intelligence and information from open sources and non-governmental organisations.

Annex B

International Development Association eligible countries

Africa

Angola
Benin
Burkina Faso
Burundi
Cameroon
Cape Verde
C.A.R.
Chad
Comoros
Congo, Democratic Republic of
(formerly Zaire)
Congo, Republic of
Cote d'Ivoire
Eritrea
Ethiopia
Gambia, The
Ghana
Guinea
Guinea-Bissau
Kenya
Lesotho
Liberia
Madagascar
Malawi
Mali
Mauritania
Mozambique
Niger
Nigeria
Rwanda
Sao Tome and Pr.
Senegal
Sierra Leone
Somalia
South Sudan
Sudan
Tanzania
Togo
Uganda
Zambia
Zimbabwe

East Asia

Cambodia
Kiribati
Laos, PDR
Marshall Islands
Micronesia, FS
Mongolia
Myanmar
Papua New Guinea
Samoa
Solomon Islands
Timor-Leste
Tonga
Tuvalu
Vanuatu
Vietnam

Europe and Central Asia

Armenia
Bosnia-Herzegovina
Georgia
Kosovo
Kyrgyz Republic
Moldova
Tajikistan
Uzbekistan

Latin America and Caribbean

Bolivia
Dominica
St Vincent
Grenada
Guyana
Haiti
Honduras
Nicaragua
St Lucia

Middle East and North Africa

Djibouti
Yemen, Republic of

South Asia

Afghanistan
Bangladesh
Bhutan
India
Maldives
Nepal
Pakistan
Sri Lanka

Annex C

Information Required for the UN Register of Conventional Arms

**Standardized form for reporting international transfers of conventional arms
(exports)^a**

EXPORTS

Report of international conventional arms transfers

(according to United Nations General Assembly resolutions 46/36 L and 58/54)

Reporting country: United Kingdom

Calendar year: 2013



A		B	C	D ^b	E ^b	REMARKS ^c	REMARKS ^c
Category (I-VII)		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
I.	Battle tanks	USA	1			Chieftain MK10	Deactivated
		USA	1			Chieftain MK10 MBT	Collector
		Canada	1			Scorpion CVR(T)	Collector
		Finland	1			T34/85	Collector
		Greece	1			T34	Collector
		Greece	1			Chieftain MBT	Museum display

A		B	C	D ^b	E ^b	REMARKS ^c	REMARKS ^c
II.	Armoured combat vehicles	Australia	1			Ferret	Collector
		Australia	1			CVRT Stormer	
		Australia	3			FV 432	Museum display
		Australia	1			OT64R2M SKOT	Exhibition prop
		Canada	1			CVR(T) Striker	Collector
		Canada	1			CVR(T) Sabre	Collector
		Canada	1			MK1 Ferret	Collector
		Canada	1			Ocelot	
		Canada	1			Stuart M3A1	Museum Display
		Germany	1			SA-8	
		Italy	1			Iveco LMV M65E19WM	
		Italy	1			Jankel Cab	
		Jordan	2			Springer	
		Lithuania	2			FV432	Museum Display
		Mozambique	40			F430	
		Mozambique	25			Saxon	
		Spain	1			FV430	
		Switzerland	1			Saxon	
		Switzerland	1			M3 Stuart	
		UAE	1			Ford F550	
		USA	1			M3A1 Stuart	Collector
		USA	1			Alvis Daimler	Collector
		USA	1			CVR(T) Sabre	
		USA	2			Ferret	
		USA	2			FV432	
		USA	1			FV432	Collector
		USA	1			MK6 Saracen APC	Collector
		USA	1			STUG	Collector
III.	Large-calibre artillery systems	Korea, South	3			Zis-3	Deactivated
IV.	Combat aircraft	Canada	1			Hawker Typhoon	Vintage non-flying display aircraft
		Japan	1			Nakajima Ki-43	Museum Display
		Saudi Arabia	8			Typhoon	
		USA	1			Curtiss P-47G	Display
		USA	1			Sepecat Jaguar	Display
V.	Attack helicopters						

A		B		C	D ^b	E ^b	REMARKS ^c	REMARKS ^c
VI.	Warships		Indonesia	3			Multi Role Light Frigate	
			Turkey	1			HMS Campbeltown	Decommissioned
			Turkey	1			HMS Cumberland	Decommissioned
			Turkey	1			HMS Chatham	Decommissioned
VII.	Missiles and missile launchers ^d	a)	USA	294			Maverick AGM-65	
			USA	28			Maverick O+AGM-65G2	
		b)	Thailand	24			Starstreak	

National criteria on transfers: _____

^{a b c d} See explanatory notes.

The nature of information provided should be indicated in accordance with explanatory notes e and f.

Standardized form for reporting international transfers of conventional arms (exports)^a

IMPORTS

Report of international conventional arms transfers

(according to United Nations General Assembly resolutions 46/36 L and 58/54)

Reporting country: United Kingdom

Calendar year: 2013



A		B	C	D ^b	E ^b	REMARKS ^c	REMARKS ^c
Category (I-VII)		Exporter State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
I.	Battle tanks						
II.	Armoured combat vehicles						
III.	Large-calibre artillery systems						
IV.	Combat aircraft						
V.	Attack helicopters						
VI.	Warships						
VII.	Missiles and missile launchers ^d	a) b)					

National criteria on transfers: _____

^{a b c d} See explanatory notes.

The nature of information provided should be indicated in accordance with explanatory notes e and f.

Explanatory Notes

(a)	Member States that do not have anything to report should file a “nil report” clearly stating that no exports or imports have taken place in any of the categories during the reporting period.														
(b)	International arms transfers involve, in addition to the physical movement of equipment into or from national territory, the transfer of title to and control over the equipment. Member States are invited to provide with their return a concise explanation of national criteria used to determine when an arms transfer becomes effective. (See paragraph 42 of the annex to document A/49/316.)														
(c)	In the “Remarks” column Member States may wish to describe the item transferred by entering the designation, type, model or any other information considered relevant. Member States may also wish to use the “Remarks” column to explain or clarify aspects relevant to the transfer.														
(d)	Multiple-launch rocket systems are covered by the definition of category III. Rockets qualifying for registration are covered under category VII. MANPADS should be reported if the MANPAD system is supplied as a complete unit, i.e. the missile and launcher/Grip Stock form an integral unit. In addition, individual launching mechanisms or grip-stocks should also be reported. Individual missiles, not supplied with a launching mechanism or grip stock need not be reported.														
(e)	<p>Check any of the following provided as part of your submission:</p> <table> <tr> <th></th><th>Check</th></tr> <tr> <td>(i) Annual report on exports of arms</td><td></td></tr> <tr> <td>(ii) Annual report on imports of arms</td><td></td></tr> <tr> <td>(iii) Available background information on military holdings</td><td></td></tr> <tr> <td>(iv) Available background information on procurement through national production</td><td></td></tr> <tr> <td>(v) Available background information on relevant policies and/or national legislation</td><td></td></tr> <tr> <td>(vi) Other (please describe)</td><td></td></tr> </table>		Check	(i) Annual report on exports of arms		(ii) Annual report on imports of arms		(iii) Available background information on military holdings		(iv) Available background information on procurement through national production		(v) Available background information on relevant policies and/or national legislation		(vi) Other (please describe)	
	Check														
(i) Annual report on exports of arms															
(ii) Annual report on imports of arms															
(iii) Available background information on military holdings															
(iv) Available background information on procurement through national production															
(v) Available background information on relevant policies and/or national legislation															
(vi) Other (please describe)															
(f)	<p>When reporting transfers, which of the following criteria, drawn from paragraph 42 of the annex to document A/49/316, were used:</p> <table> <tr> <td>(i) Departure of equipment from the exporter’s territory</td><td></td></tr> <tr> <td>(ii) Arrival of equipment in the importer’s territory</td><td></td></tr> <tr> <td>(iii) Transfer of title</td><td></td></tr> <tr> <td>(iv) Transfer of control</td><td></td></tr> <tr> <td>(v) Others (please provide brief description below)</td><td></td></tr> </table>	(i) Departure of equipment from the exporter’s territory		(ii) Arrival of equipment in the importer’s territory		(iii) Transfer of title		(iv) Transfer of control		(v) Others (please provide brief description below)					
(i) Departure of equipment from the exporter’s territory															
(ii) Arrival of equipment in the importer’s territory															
(iii) Transfer of title															
(iv) Transfer of control															
(v) Others (please provide brief description below)															

Explanatory Notes (continued)

Categories of equipment and their definitions

I.	<p>Battle tanks</p> <p>Tracked or wheeled self-propelled armoured fighting vehicles with high cross-country mobility and a high-level of self-protection, weighing at least 16.5 metric tons unladen weight, with a high muzzle velocity direct fire main gun of at least 75 millimetres calibre.</p>
II.	<p>Armoured combat vehicles</p> <p>Tracked, semi-tracked or wheeled self-propelled vehicles, with armoured protection and cross-country capability, either: (a) designed and equipped to transport a squad of four or more infantrymen, or (b) armed with an integral or organic weapon of at least 12.5 millimetres calibre or a missile launcher.</p>
III.	<p>Large-calibre artillery systems</p> <p>Guns, howitzers, artillery pieces, combining the characteristics of a gun or a howitzer, mortars or multiple-launch rocket systems, capable of engaging surface targets by delivering primarily indirect fire, with a calibre of 75 millimetres and above.</p>
IV.	<p>Combat aircraft</p> <p>Fixed-wing or variable-geometry wing aircraft designed, equipped or modified to engage targets by employing guided missiles, unguided rockets, bombs, guns, cannons or other weapons of destruction, including versions of these aircraft which perform specialized electronic warfare, suppression of air defence or reconnaissance missions. The term "combat aircraft" does not include primary trainer aircraft, unless designed, equipped or modified as described above.</p>
V.	<p>Attack helicopters</p> <p>Rotary-wing aircraft designed, equipped or modified to engage targets by employing guided or unguided anti-armour, air-to-surface, air-to-subsurface, or air-to-air weapons and equipped with an integrated fire control and aiming system for these weapons, including versions of these aircraft which perform specialized reconnaissance or electronic warfare missions.</p>
VI.	<p>Warships</p> <p>Vessels or submarines armed and equipped for military use with a standard displacement of 500 metric tons or above, and those with a standard displacement of less than 500 metric tons, equipped for launching missiles with a range of at least 25 kilometres or torpedoes with similar range.</p>
VII.	<p>Missiles and missile launchers</p> <p>(a) Guided or unguided rockets, ballistic or cruise missiles capable of delivering a warhead or weapon of destruction to a range of at least 25 kilometres, and means designed or modified specifically for launching such missiles or rockets, if not covered by categories I through VI. For the purpose of the Register, this sub-category includes remotely piloted vehicles with the characteristics for missiles as defined above but does not include ground-to-air missiles.</p> <p>(b) Man-Portable Air-Defence Systems (MANPADS).</p>

Standardized form for reporting international transfers of conventional arms (exports)^a

EXPORTS

Report of international conventional arms transfers

(according to United Nations General Assembly resolutions 46/36 L and 58/54)

Reporting country: United Kingdom

Calendar year: 2013

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
SMALL ARMS							
1.	Revolvers and self-loading pistols	Afghanistan	44			Pistols	
		Austria	2				
		Bahrain	3				
		Bangladesh	1				
		Belgium	50				
		Brazil	25				
		Bulgaria	1				
		Canada	513				
		Comoros	320				
		Cyprus	65				
		Djibouti	180				
		Egypt	60				
		France	9				
		Germany	9				
		Greece	50				
		India	1				
		Ireland	2				
		Italy	2				
		Jordan	52				
		Kenya	51				
		Kuwait	750				
		Libya	21				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		Madagascar	400				
		Maldives	460				
		Malta	32				
		Mauritius	330				
		Namibia	30				
		Netherlands	5				
		New Zealand	8				
		Oman	1160				
		Pakistan	2				
		Poland	1				
		South Africa	1113				
		Sri Lanka	1410				
		Switzerland	3				
		Tanzania	62				
		Turkey	10				
		UAE	1				
		USA	12				
		Uruguay	5				
		Zambia	50				
2.	Rifles and carbines	Australia	7			Rifles	
		Austria	2				
		Bahrain	2				
		Belgium	5				
		Brazil	15				
		Bulgaria	1				
		Canada	2708				
		Comoros	1400				
		Denmark	3				
		Djibouti	200				
		France	2				
		Ireland	2				
		Italy	6				
		Japan	5				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		Kenya	100				
		Luxembourg	1				
		Madagascar	500				
		Maldives	1000				
		Mauritius	1350				
		Namibia	200				
		Netherlands	4				
		New Zealand	11				
		Norway	40				
		Oman	2480				
		Romania	2				
		Russia	3				
		Slovakia	2				
		South Africa	2613				
		Spain	105				
		Sri Lanka	3107				
		Tanzania	400				
		Ukraine	11				
		UAE	18				
		USA	5				
		Australia	2			Shotguns	
		Canada	1				
		Comoros	450				
		Djibouti	150				
		Egypt	150				
		Ireland	5				
		Italy	2				
		Kenya	100				
		Libya	5				
		Madagascar	300				
		Maldives	400				
		Mauritius	150				
		Namibia	150				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		Oman	900				
		South Africa	1400				
		Sri Lanka	1297				
		Switzerland	1				
		Tanzania	300				
		Argentina	619			Sporting Rifles	
		Australia	69				
		Austria	1				
		Bahrain	22				
		Barbados	1				
		Belgium	27				
		Botswana	8				
		Brazil	4				
		Bulgaria	4				
		Canada	158				
		Chile	28				
		Cyprus	9				
		Czech Republic	7				
		Denmark	19				
		Djibouti	400				
		Egypt	550				
		Finland	10				
		France	15				
		Georgia	3				
		Germany	7				
		Greece	9				
		Hungary	1				
		Iceland	1				
		India	3				
		Ireland	9				
		Italy	14				
		Jordan	2				
		Kazakhstan	110				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		Kenya	205				
		Korea, South	2				
		Kuwait	1351				
		Lebanon	14				
		Libya	9				
		Lithuania	3				
		Madagascar	300				
		Malawi	1				
		Malaysia	160				
		Maldives	850				
		Malta	159				
		Mauritius	200				
		Monaco	1				
		Mozambique	30				
		Namibia	1				
		Netherlands	16				
		New Zealand	28				
		Norway	995				
		Oman	250				
		Pakistan	11				
		Paraguay	5				
		Poland	1				
		Portugal	5				
		Qatar	1				
		Romania	2				
		Russia	125				
		Saudi Arabia	20				
		Slovakia	13				
		South Africa	1459				
		Spain	15				
		Sri Lanka	1				
		Sweden	2				
		Switzerland	16				
		Tanzania	11				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		Thailand	5				
		Turkey	31				
		Ukraine	118				
		UAE	2752				
		USA	52				
		Uruguay	1				
		Uzbekistan	10				
		Zambia	44				
		Australia	501			Sniper Rifles	
		Bahrain	7				
		Belgium	2				
		Botswana	1				
		Brazil	5				
		Brunei	35				
		Canada	331				
		Chile	27				
		Czech Republic	1				
		Denmark	2				
		Estonia	2				
		Finland	2				
		France	4				
		Georgia	53				
		Indonesia	299				
		Italy	1				
		Japan	14				
		Kuwait	8				
		Lebanon	58				
		Madagascar	200				
		Malawi	1				
		Malaysia	11				
		Maldives	200				
		Malta	200				
		Netherlands	6				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		New Zealand	9				
		Norway	4				
		Oman	200				
		Pakistan	15				
		Peru	6				
		Poland	1				
		Qatar	27				
		Romania	1				
		Russia	106				
		Singapore	52				
		South Africa	406				
		Spain	1				
		Sri Lanka	700				
		Sweden	1				
		Switzerland	8				
		Turkey	1				
		Ukraine	21				
		UAE	5				
		USA	14109				
3.	Sub-machine guns	Brazil	5				
		Canada	6				
		Germany	320				
		Ireland	2				
		Japan	274				
		Jordan	27				
		Netherlands	1				
		New Zealand	43				
		Oman	680				
		Panama	25				
		Qatar	102				
		South Africa	2				
		UAE	41				
		USA	3				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
4.	Assault rifles	Afghanistan	53				
		Bahrain	5000				
		Belgium	3				
		Bosnia and Herzegovina	2				
		Brazil	1				
		Bulgaria	5				
		Canada	51				
		Comoros	3750				
		Djibouti	1300				
		Egypt	1300				
		Germany	1				
		Greece	400				
		Ireland	6				
		Japan	359				
		Jordan	1027				
		Kenya	300				
		Korea, South	19				
		Kuwait	300				
		Libya	35				
		Madagascar	2950				
		Maldives	3500				
		Malta	750				
		Mauritius	2375				
		Namibia	600				
		New Zealand	26				
		Oman	8352				
		Qatar	1526				
		Seychelles	1				
		South Africa	8652				
		Sri Lanka	8485				
		Sweden	2				
		Tanzania	1200				
		UAE	30				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		USA	17				
		Uruguay	23				
5.	Light machine guns	Afghanistan	1				
		Belgium	2				
		Canada	25				
		Chile	4				
		France	2				
		Italy	6				
		Japan	105				
		Jordan	20				
		Netherlands	1				
		New Zealand	30				
		Oman	4				
		Qatar	41				
		South Africa	4				
		Spain	1				
		UAE	13				
		USA	9				
6.	Others						
LIGHT WEAPONS							
1.	Heavy machine guns	Belgium	4				
		Bulgaria	1				
		Canada	10				
		Denmark	100				
		Italy	20				
		Japan	21				
		New Zealand	4				
		Oman	254				
		Seychelles	11				
2.	Hand-held under-barrel and mounted grenade launchers	Belgium	3				
		Bulgaria	4				
		Qatar	14				
		Sweden	1				

A		B	C	D ^b	E ^b	REMARKS ^c	
		Final importer State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
		UAE	1				
		USA	7				
		Uruguay	9				
3.	Portable anti-tank guns						
4.	Recoilless rifles						
5.	Portable anti-tank missile launchers and rocket systems						
6.	Mortars of calibres less than 75 mm						
7.	Others						

National criteria on transfers:

^a The standardized forms provide options for reporting only aggregate quantities under the generic categories of "Small arms" and "Light weapons" and/or under their respective subcategories. See the United Nations Information Booklet 2007 (http://www.un.org/disarmament/convarms/Register/HTML/Register_ReportingForms.shtml) for questions and answers regarding the reporting of small arms and light weapons.

^b The categories provided in the reporting form do not constitute a definition of "Small arms" and "Light weapons".

Information on international transfers of small arms and light weapons a,b (imports)

IMPORTS

Reporting country: United Kingdom

Calendar year: 2013



A		B	C	D	E	REMARKS	
		Exporter State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
SMALL ARMS							
1.	Revolvers and self-loading pistols	Austria	29,127			Revolvers and self-loading pistols	
2.	Rifles and carbines	Austria USA	150 46			Rifles and carbines	
3.	Sub-machine guns						
4.	Assault rifles	Canada USA	261 177			Assault rifles	
5.	Light machine guns	Belgium	300			Light machine guns	
6.	Others						
LIGHT WEAPONS							
1.	Heavy machine guns						
2.	Hand-held under-barrel and mounted grenade launchers	USA Germany	6 1600			Grenade launchers	
3.	Portable anti-tank guns						
4.	Recoilless rifles						

A		B	C	D	E	REMARKS	
		Exporter State(s)	Number of items	State of origin (if not exporter)	Intermediate location (if any)	Description of item	Comments on the transfer
5.	Portable anti-tank missile launchers and rocket systems	Sweden	1024			Portable anti-tank missile launchers and rocket systems	
6.	Mortars of calibres less than 75 mm						
7.	Others						

National criteria on transfers:

^a The standardized forms provide options for reporting only aggregate quantities under the generic categories of "Small arms" and "Light weapons" and/or under their respective subcategories. See the United Nations Information Booklet 2007 (http://www.un.org/disarmament/convarms/Register/HTML/Register_ReportingForms.shtml) for questions and answers regarding the reporting of small arms and light weapons.

^b The categories provided in the reporting form do not constitute a definition of "Small arms" and "Light weapons".

The UN Register of Conventional Arms

MILITARY HOLDINGS

Reporting country: United Kingdom

For reporting period: 2013

Category	Definition	Number
Category I Battle Tanks	Challenger 2	315
Category II Armoured Combat Vehicles	CVR(T) Scimitar	266 Mk 1 & 31 Mk 2
	CVR(T) Spartan	383 Mk 1 & 18 Mk 2
	CVR(T) Sultan	170 Mk 1 & 4 Mk 2
	CVR(T) Salamander	3
	CVR(T) Samson	39 Mk 1 & 5 Mk 2
	CVR(T) Samaritan	44 Mk 1 & 2 Mk 2
	FV430 Series (Bulldog)	895
	Panther	396
	Viking Front Cab	55
	Viking TCV Rear	47
	Viking CV Rear	11
	Viking RRV Rear	8
	New Viking Regen	61
	Warrior	781
	Warthog Front Cab	105
	Warthog Rear Cab	112
	Mastiff ^a	439
	Ridgeback ^a	169
	Wolfhound ^a	125
Category III Large Calibre Artillery Systems	AS90 155 mm SP Howitzer	89
	105 mm Light Gun	122
	MLRS launchers	35
Category IV Military Aircrafts	Tornado GR4	113
	Tornado F3	11
	Typhoon	117
	Reaper RPAS	5

Category	Definition	Number
Category V Attack Helicopters	Apache AH1	66
	Lynx AH7	40
	Lynx AH9/9A	22
	Lynx MK3	7
	Lynx MK8	33
	Merlin MK1	16
Category VI Warships	Submarines	11
	Aircraft Carriers	1
	Frigates/Destroyers	19
	Amphibious Ships	3
	Survey Vessels	3
	Offshore Patrol Vessels	4
	Aviation Training Ship	1
	Repair & Maintenance Ship	1
	Tanker/Replenishment Ship	11
	MCM Vessels	15
	Ice Patrol Ships	1
Category VII Missiles and Missile Launchers	Total	3093

Notes:

^a The UK defines these vehicles as Personal Protection Vehicles. They do not fully fit the category definition of an ACV but are included in the register for transparency reasons.

The UN Register of Conventional Arms

PROCUREMENT FROM NATIONAL PRODUCTION

Reporting country: United Kingdom

For reporting period: 2013

Category (I-VII)	Number of Items	Details of model, type, variant
I. Battle Tanks	Nil	
II. Armoured Combat Vehicles	61	New Viking Regen
III. Large Calibre Artillery Systems	Nil	
IV. Combat Aircraft	12	Typhoon
V. Attack Helicopters	Nil	
VI. Warships	4	2 x Astute Class Submarines 2 x Type 45 Destroyers
VII. Missiles & Missile Launchers	Nil	

Procurement from national production is defined as complete weapon systems purchased by the Government from suppliers within the United Kingdom or from programmes in which the UK is a collaborative partner.

Government to Government Transfers of equipment between 1 January and 31 December 2013

Country	Type of Equipment	Quantity
Saudi Arabia	Typhoon aircraft and initial in-service support.	8
	Component repair and re-provisioning, munitions and their sub-assemblies and training support for aircraft and their systems.	70
	Component repair and re-provisioning, munitions and training support for naval vessels and their systems.	-

Annex D

UK Return to EU Annual Report 2013

UK ARMS EXPORTS PER DESTINATION IN 2013

Key: (ML) EU Common Military List category, (a) number of licences issued, (b) value of licences in Euros (exchange rate used: 1GBP = 1.201 Euros. Source: HMRC Dec 2013)

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
North Africa	a	7	1	2	5	2	6	3	0	1	4
	b	277 164	1 812 075	339 652	492 573	121 610	1 522 047	182 971	0	152	285 256
Algeria	a	1	1			1				1	1
	b	147 123	1 812 075			91 585				152	4 518
Libya	a	3		1	4	1	4	2			2
	b	108 629		12 701	491 218	30 025	117 679	108 429			92 316
Morocco	a	2									1
	b	19 336									188 422
Tunisia	a	1		1	1		2	1			
	b	2 077		326 952	1 355		1 404 368	74 542			
Sub-Saharan Africa	a	155	4	84	30	13	105	3	0	5	65
	b	72 977 255	533 696	10 357 882	2 296 540	443 049	14 394 519	13 616	0	134 249	17 583 422
Angola	a	2					1				3
	b	373 271					216 180				89 183
Benin	a	1									
	b	14 412									
Botswana	a	7					2	1			1
	b	1 031 111					1 393 606	11 763			282 235

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
13	0	7	1	5	0	2	0	1	0	2	1	63
2 022 497	0	1 793 145	81 668	3 973 604	0	220 984	0	30 025	0	1 580 297	4 804	14 740 524
10		1		3								19
337 673		1 441		1 156 797								3 551 363
1		5		2		1		1		1		28
1 615 406		1 790 476		2 816 806		72 060		30 025		1 579 793		8 865 563
2		1	1			1				1	1	10
69 418		1 228	81 668			148 924				504	4 804	514 304
												6
												1 809 293
29	0	90	0	17	2	9	4	0	0	4	11	630
4 854 285	0	14 510 562	0	1 686 292	44 633	345 493	13 540	0	0	1 502	77 934	140 268 470
				2								8
				82 821								761 455
		1										2
		40 445										54 857
2		3		5								21
61 972		4 987 876		181 687								7 950 249

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
Burkina Faso	a						1				
	b						3 603				
Burundi	a										
	b										
Cameroon	a										1
	b										1 651
Cape Verde	a										
	b										
Central African Republic	a										
	b										
Chad	a										
	b										
Comoros	a	9		9							
	b	11 817 091		1 649 093							
Congo (Republic of)	a						1				
	b						25 822				
Congo (Democratic Republic of)	a						1				1
	b						39 033				125 769
Djibouti	a	4		5							
	b	4 759 563		584 758							
Equatorial Guinea	a										
	b										
Eritrea	a										
	b										
Ethiopia	a										
	b										
Gabon	a										
	b										
Gambia	a										
	b										
Ghana	a						2				
	b						43 236				
Guinea	a										

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
												1
												3 603
												0
												0
		1										2
		284 907										286 558
												0
												0
		1										1
		22 879										22 879
												0
												0
		8										26
		942 785										14 408 969
												1
												25 822
												2
												164 801
		4										13
		480 400										5 824 721
												0
												0
		1										1
		10 377										10 377
												0
												0
												0
												0
												0
												0
1												3
5 855												49 091
		1										1

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
	b										
Guinea-Bissau	a										
	b										
Ivory Coast	a	1		1							
	b	1 922		721							
Kenya	a	7	2	3	2		7				5
	b	1 655 727	351 960	261 348	62 332		493 149				4 515 357
Lesotho	a			1							
	b			78 551							
Liberia	a				2						
	b				19 118						
Madagascar	a	9		7							
	b	8 919 551		1 083 422							
Malawi	a	2					2				
	b	1 456					65 695				
Mali	a				1						
	b				132 259						
Mauritania	a										2
	b										7 238
Mauritius	a	10		9							
	b	8 447 148		1 113 928							
Mozambique	a	1					2				
	b	16 574					3 407 237				
Namibia	a	8		2			3				
	b	2 329 383		478 719			36 570				
Niger	a										
	b										
Nigeria	a				1		6			1	5
	b				157 248		177 549			60 050	232 401
Rwanda	a										
	b										
Sao Tome and Principe	a										
	b										
Senegal	a										
	b										

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
		284 907										284 907
												0
												0
		1										3
		34 733										37 375
2		10					1					39
189 842		834 299					2 988					8 367 001
												1
												78 551
												2
												19 118
		6										22
		850 578										10 853 551
												4
												67 150
1		1								1	1	5
12 303		173 874								1	6	318 443
												2
												7 238
		7										26
		828 690										10 389 766
1		1				1						6
27 923		2 402				198 165						3 652 301
		2		3		1						19
		175 346		135 329		8 407						3 163 753
												0
												0
3		7				1						24
56 476		1 260 406				3 603						1 947 733
												0
												0
												0
												0
2		1										3
2 990		9 728										12 719

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
Seychelles	a	4		2							
	b	190 655		44 329							
Sierra Leone	a						14				
	b						750 985				
Somalia	a				3		5				
	b				161 660		2 547 801				
South Africa	a	75	2	36	20	11	13	2		4	46
	b	29 695 242	181 737	4 504 869	1 741 430	338 081	1 704 690	1 853		74 199	11 953 186
South Sudan	a						1				
	b						70 679				
Sudan	a										
	b										
Swaziland	a				1						
	b				22 492						
Tanzania	a	9		8		1	7				
	b	3 572 388		534 126		102 085	354 115				
Togo	a					1	1				
	b					2 882	147 835				
Uganda	a						8				1
	b						2 246 691				376 402
Zambia	a	6		1			28				
	b	151 763		24 020			670 044				
Zimbabwe	a										
	b										
North America	a	141	24	20	39	35	50	27	3	9	288
	b	50 177 571	4 284 210	3 629 388	159 070 686	26 725 569	10 962 938	9 437 535	3 603 057	174 486	344 460 610
Canada	a	51		12	6	7	21	9		5	14
	b	2 213 746		428 585	703 439	690 543	1 646 783	33 574		85 688	789 443
United States	a	90	24	8	33	28	29	18	3	4	274
	b	47 963 825	4 284 210	3 200 803	158 367 248	26 035 026	9 316 156	9 403 961	3 603 057	88 797	343 671 167
Central America & the Caribbean	a	4	0	7	0	0	2	1	0	0	6
	b	245 937	0	212 668	0	0	253 940	2 369	0	0	4 217 222
Antigua and Barbuda	a			1							1

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
		2										8
		77 901										312 885
						2						16
						101 184						852 170
		5				1						14
		81 253				13 211						2 803 925
16		23		6	2	2	3			2	9	272
4 470 151		2 873 953		1 088 044	44 633	15 218	10 552			1 501	77 862	58 777 202
												1
												70 679
												0
												0
												1
												22 492
		2		1								28
		240 200		198 411								5 001 324
		2										4
		12 624										163 342
												9
												2 623 093
1						1				1	1	39
26 773						5 705				0	66	878 370
												0
												0
96	0	11	12	5	21	6	1	1	0	38	50	877
130 835 407	0	1 525 632	954 766	8 408 681	2 207 329	222 071	14 010	150 605	0	9 986 078	10 674 730	777 505 359
11		1	4	1	2	2				1	3	150
685 260		1 441	85 289	2 762	590 553	81 815				210 175	2 402	8 251 498
85		10	8	4	19	4	1	1		37	47	727
130 150 147		1 524 190	869 477	8 405 919	1 616 776	140 256	14 010	150 605		9 775 903	10 672 328	769 253 862
5	0	12	0	1	1	0	0	1	0	0	3	43
1 380 255	0	819 411	0	23 347	369 654	0	0	38 432	0	0	0	7 563 236
												2

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
	b			13 048							24 020
Bahamas	a										1
	b										1 201 000
Barbados	a	1		2							
	b	912		637							
Belize	a			1							
	b			30 203							
Costa Rica	a							1			
	b							2 369			
Cuba	a										
	b										
Dominica	a										
	b										
Dominican Republic	a						1				
	b						218 204				
El Salvador	a										
	b										
Grenada	a										
	b										
Guatemala	a										
	b										
Haiti	a										
	b										
Honduras	a										
	b										
Jamaica	a			1							
	b			99 833							
Mexico	a	1									4
	b	162 976									2 992 202
Nicaragua	a										
	b										
Panama	a	1									
	b	45 262									
Saint Kitts and Nevis	a										
	b										
Saint Lucia	a			1							

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
												37 068
												1
												1 201 000
												3
												1 548
												1
												30 203
												1
												2 369
												0
												0
		1										1
		11 304										11 304
											1	2
											0	218 204
												0
												0
												0
												0
												0
												0
												0
												0
												0
												0
												0
		2										3
		198 959										298 793
4		5		1	1			1				17
1 376 611		94 843		23 347	369 654			38 432				5 058 066
												0
												0
											1	2
											0	45 262
												0
												0
												1

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
	b			65 884							
Saint Vincent & Grenadines	a										
	b										
Trinidad and Tobago	a	1		1			1				
	b	36 788		3 063			35 737				
South America	a	55	7	12	20	15	6	11	0	43	106
	b	3 128 650	1 398 555	1 275 150	2 827 515	4 293 710	5 075 886	126 267	0	16 328 421	40 338 964
Argentina	a	20		2	1						
	b	400 269		127 582	37 856						
Bolivia	a										
	b										
Brazil	a	7	6	4	17	4	2	9		29	82
	b	929 837	1 385 980	528 204	1 500 119	223 012	46 098	87 506		1 121 372	37 967 548
Chile	a	16		3	2	5				10	5
	b	556 531		91 744	1 289 540	1 699 125				1 688 727	374 903
Colombia	a	2		1		1		2		1	13
	b	227 937		473 180		1 756		38 761		13 451 965	1 430 228
Ecuador	a					1				2	3
	b					240 200				59 331	24 146
Guyana	a						1				
	b						3 603				
Paraguay	a	1									
	b	5 743									
Peru	a	3		1		4					1
	b	241 608		49 283		2 129 617					237 140
Suriname	a										
	b										
Uruguay	a	6	1	1			3				1
	b	766 726	12 575	5 157			5 026 185				4 749
Venezuela	a									1	1
	b									7 027	300 250
Central Asia	a	4	0	0	0	0	1	0	0	0	0
	b	24 519	0	0	0	0	1 088	0	0	0	0
Kazakhstan	a	3									
	b	13 960									
Kyrgyzstan	a						1				

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
												65 884
												0
												0
1		4									1	9
3 644		514 304									0	593 535
49	0	19	3	6	6	5	1	0	0	9	29	402
6 089 873	0	2 083 635	82 067	2 187 093	895 512	5 635 359	42 455	0	0	86 052	1 004 501	92 899 665
												23
												565 707
												0
												0
27		2	1	1	6	4	1			6	17	225
2 492 839		25 980	60 823	2 092 142	895 512	5 624 850	42 455			76 023	1 003 570	56 103 871
9		3	1	3						1	8	66
1 864 778		138 374	933	48 256						6 005	782	7 759 699
3		5		1								29
1 222 171		496 234		23 347								17 365 578
		7										13
		857 988										1 181 665
												1
												3 603
		1										2
		721										6 464
9		1	1	1		1				2	2	26
503 406		564 338	20 310	23 347		10 509				4 023	149	3 783 731
												0
												0
											2	14
											0	5 815 392
1												3
6 678												313 955
0	0	1	0	0	0	0	0	0	0	0	0	6
0	0	1 733	0	0	0	0	0	0	0	0	0	27 340
												3
												13 960
												1

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
	b						1 088				
Tajikistan	a										
	b										
Turkmenistan	a										
	b										
Uzbekistan	a	1									
	b	10 559									
North East Asia	a	40	5	15	47	38	10	47	4	38	131
	b	5 421 421	797 403	805 367	10 880 156	13 230 249	573 580	68 778 543	675 623	4 308 915	21 832 320
China (Mainland)	a			3	2	2	1	8	1	5	13
	b			88 516	7 157	8 600 356	1 201	55 794 774	675 563	723 751	1 738 517
China (Hong Kong)	a	12	1	3	10	2	1	5			4
	b	1 198 566	52	13 234	450 532	414 345	5 627	325 030			76 075
China (Macao)	a				2						
	b				39 972						
Korea (Democratic People's Rep of)	a										
	b										
Korea (Republic of)	a	10	4	5	28	26	8	8		18	97
	b	1 338 007	797 352	237 733	10 315 717	3 272 437	566 752	43 280		1 603 369	17 783 516
Japan	a	12		3	1			17		1	3
	b	1 782 757		105 585	7 855			220 771		1 528	477 554
Mongolia	a			1							
	b			360 300							
Taiwan	a	6			4	8		9	3	14	14
	b	1 102 092			58 924	943 111		12 394 688	61	1 980 267	1 756 659
South East Asia	a	58	11	25	45	41	71	38	2	40	181
	b	15 446 611	2 208 543	2 243 393	7 252 177	5 888 837	15 731 660	4 146 328	501 884	137 958 348	10 567 075
Brunei	a	4		3	7		8	2			5
	b	2 010 596		610 447	83 797		300 258	3 339			792 088
Cambodia	a										
	b										

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
												1 088
												0
												0
												0
												0
		1										2
		1 733										12 292
122	0	2	16	6	9	4	6	0	0	29	73	642
11 104 226	0	1 111	2 367 196	425 585	4 766 602	503 802	867 374	0	0	6 183 500	4 722 485	158 245 457
16							4			9	23	87
340 418							206 151			4 345 798	2 255 343	74 777 544
10		1	2	2						1	4	58
152 674		192	68 536	279 833						3 723	1	2 988 419
												2
												39 972
												0
												0
56		1	12	2	4	3	1			6	23	312
8 575 131		918	2 104 000	30 484	135 580	501 403	484 851			1 822 307	2 178 585	51 791 421
21			2	2						3	10	75
876 402			194 659	115 268						721	2 882	3 785 982
												1
												360 300
19					5	1	1			10	13	107
1 159 602					4 631 022	2 398	176 372			10 951	285 673	24 501 819
91	0	29	7	8	1	9	5	2	0	17	40	721
20 507 960	0	1 394 551	3 234 940	734 526	311 136	316 842	29 939	60 050	0	3 328 804	2 563 521	234 427 126
3		2	1								2	37
165 431		62 245	90 075								901	4 119 176
												0
												0

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
Indonesia	a	14		5	10	6	3	4	1	4	102
	b	6 850 362		486 685	695 318	370 083	314 508	67 391	501 818	133 023 947	7 946 000
Laos	a						1				
	b						173 647				
Malaysia	a	12	3	7	14	11	3	12		8	30
	b	1 548 795	224 001	275 849	188 284	4 286 684	4 532 241	3 559 768		296 475	412 980
Myanmar	a										
	b										
Philippines	a	3		3			1				8
	b	653		660 550			214 979				925 550
Singapore	a	14	3	2	5	10	50	13	1	19	21
	b	2 390 335	33 277	103 981	2 493 978	300 436	9 373 282	460 933	67	661 507	260 875
Thailand	a	7	5	4	8	14	5	1		8	14
	b	1 067 184	1 951 265	93 870	3 784 590	931 634	822 745	809		2 679 339	216 050
Timor Leste	a										
	b										
Vietnam	a	4		1	1			6		1	1
	b	1 578 686		12 010	6 210			54 089		1 297 080	13 532
South Asia	a	72	5	71	34	118	16	7	5	61	366
	b	48 834 890	1 089 185	6 920 132	78 943 034	37 708 395	626 918	15 680	622	20 396 394	22 881 429
Afghanistan	a	4		2	5	1	1				5
	b	138 983		97 942	8 378 746	31 824	68 924				720 619
Bangladesh	a	1		1	2	3					
	b	300		24 020	522 603	15 246 936					
Bhutan	a										
	b										
India	a	8	4	10	20	100	13	7	5	41	275
	b	579 412	1 089 133	331 889	68 656 886	12 144 431	336 785	15 680	622	12 347 904	20 846 002
Maldives	a	13		13						1	
	b	12 689 826		1 713 227						7 937	
Nepal	a				1		1				
	b				10 375		48 957				
Pakistan	a	13	1	10	6	14	1			19	83
	b	226 504	52	170 381	1 374 424	10 285 204	172 251			8 040 552	1 287 790
Sri Lanka	a	33		35							3
	b	35 199 865		4 582 673							27 017

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
10		9				3					9	180
275 837		446 093				202 927					6 267	151 187 236
												1
												173 647
34		2	1	2		3		1		8	8	159
17 756 780		50 970	850 494	38 906		54 105		30 025		13 615	5 690	34 125 663
												0
												0
1		1					1				3	21
92 213		12 611					17 156				540 450	2 464 162
30		10	2	5	1	3	3	1		2	9	204
1 248 739		809 109	850 781	661 991	311 136	59 810	3 003	30 025		3 295 973	12 277	23 361 515
8		5	1				1			5	7	93
874 237		13 522	240 200				9 781			19 217	1 907 861	14 612 304
												0
												0
5			2	1						2	2	26
94 724			1 203 390	33 628						0	90 075	4 383 423
101	0	64	8	14	4	7	7	1	0	25	32	1 018
10 966 807	0	5 768 052	308 255	1 725 526	960 994	934 797	3 937 421	1 201	0	2 470 690	2 487 885	246 978 306
1		9				1				1	1	31
656 234		240 278				125 535				60	0	10 459 146
2		2									1	12
11 902		23 257									250 409	16 079 428
												0
												0
82		4	8	14	3	5	4	1		20	19	643
6 776 794		35 430	308 255	1 725 526	910 762	580 172	125 701	1 201		2 437 928	1 291 890	130 542 402
		10										37
		1 315 095										15 726 085
												2
												59 332
16		6			1		3			4	8	185
3 521 877		103 375			50 232		3 811 720			32 702	945 310	30 022 375
		33				1					3	108
		4 050 616				229 091					276	44 089 538

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
European Union	a	546	28	74	125	200	105	107	17	83	932
	b	133 804 495	4 824 846	8 628 604	307 458 782	20 297 749	9 866 289	14 266 931	253 364	149 394 534	341 250 320
Austria	a	12					6	2			8
	b	3 533 401					271 207	25 185			36 204 961
Belgium	a	33	3	3	2		10	3		1	10
	b	1 079 589	2 762	105 440	565 599		367 421	28 780		1 287	1 763 706
Bulgaria	a	6	1								
	b	3 583 654	9 212								
Cyprus	a	15		4	1						1
	b	667 470		69 897	3 328						6 726
Czech Republic	a	15		1	1	1	1	7			5
	b	5 976 289		5 164	10 241	171 217	16 952	9 335 140			42 344
Denmark	a	40		2	3		1	4			2
	b	5 780 051		863	398 941		1 911 348	74 951			1 399
Denmark (Greenland)	a	3									4
	b	6 973									118 070
Denmark (Faeroes)	a										
	b										
Estonia	a	5	1	3			1	3		2	
	b	44 193	1 729	20 228			11 299	28 067		2 288	
Finland	a	25	2	3		2	4	6			1
	b	379 895	144 120	935 817		12 518	57 119	30 617			19 345
France	a	57	3	8	36	37	5	10	2	19	78
	b	3 669 660	269 704	722 915	1 181 377	10 024 877	1 123 200	53 677	139	671 307	189 177 703
France (New Caledonia)	a	5									
	b	66 567									
Germany	a	47	4	3	28	24	29	20	7	31	162
	b	2 144 196	1 205 336	38 610	267 366 932	1 004 215	3 925 047	2 402 227	242 173	32 758 566	19 944 388
Greece	a	9		1	1	2	2				4
	b	1 097 073		31 226	9 585	91 223	120 100				245 410
Hungary	a	6		1			1	1			2
	b	212 925		1 422			5 044	240			822
Ireland	a	36		5	3			5	5	2	
	b	743 603		65 853	68 092			269 893	831	113 565 830	
Italy	a	34	2	5	30	30	9	5	1	7	328

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
208	0	53	3	52	87	25	4	6	0	40	91	2 786
35 002 941	0	19 045 558	46 716	5 679 490	10 303 176	2 941 149	73 435	196 757	0	6 970 676	2 953 926	1073 259 738
6				2						1	1	38
129 884				34 781						0	120	40 199 540
5				3	2							75
55 877				61 808	46 509							4 078 778
3				1							4	15
78 784				23 347							1 675	3 696 672
4				2	2							29
50 928				46 695	242 602							1 087 646
1		2		1	1	1				2	3	42
26 422		149 404		103 838	1 622 791	3 603				24 320	3 123	17 490 849
2		7		1							1	63
31 969		577 807		103 838							9 008	8 890 176
												7
												125 043
												0
												0
1		1										17
2 729		752										111 285
3		1		2								49
55 804		480		58 801								1 694 518
53		12		13	21	5	1			8	24	392
13 733 389		6 622 812		1 362 884	738 101	66 776	70 259			548 641	1 933 149	231 970 568
												5
												66 567
43		5	1	10	4	6	1			14	13	452
4 759 776		39 125	36 240	2 210 813	843 700	50 655	685			2 279 128	390 853	341 642 663
1		2								3	1	26
1 276		10 170 669								3 796 438	0	15 563 000
				1								12
				27 047								247 500
3		1	1	1		2				1	1	66
25 839		480	2 990	69 735		1 787 744				9 098	42	116 610 032
29		3		5	36	2	1	1		5	21	554

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
	b	17 518 333	23 082	48 809	27 461 430	2 740 638	504 473	84 174	7 786	1 021 615	38 998 897
Latvia	a	6			1						7
	b	3 750 137			4 117						209 622
Lithuania	a	4		2			1	2			2
	b	3 979		786			16 814	4 155			24 253
Luxembourg	a	4				2		2			
	b	7 219 132				56 750		27 684			
Malta	a	4		2							
	b	2 060 111		275 089							
Netherlands	a	32	3	6	3	18	4	18	1	2	46
	b	15 082 907	601 905	67 266	503 789	307 335	486 439	377 267	64	16 540	9 875 411
Netherlands (Aruba)	a										
	b										
Poland	a	8	2	3	3	5	9	5		2	21
	b	7 600 621	49 071	138 068	770 649	24 244	162 952	57 682		282	1 864 277
Portugal	a	10					1			3	19
	b	11 499 063	0				7 206			15 729	17 861 829
Romania	a	13		1		2		1		2	9
	b	6 529 673		12 010		229 927		276		895 752	38 831
Slovakia	a	7					2	1			
	b	19 647					303 690	955 946			
Slovenia	a	6			1	1		1			
	b	4 856 867			6 197	4 609		9 608			
Spain	a	26	2	5	5	4	4	7		4	212
	b	26 951 461	5 395	76 818	8 940 778	193 566	380 728	345 008		424 872	12 460 528
Sweden	a	66	4	8	6	72	12	4		8	11
	b	1 522 408	2 499 090	5 531 773	166 745	5 436 630	14 511	156 353		20 467	12 391 798
United Kingdom	a										
	b										
United Kingdom (Bermuda)	a			1	1						
	b			1 841	980						
United Kingdom (British Virgin Islands)	a	1		1							
	b	3 747		987							

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
10 245 403		25 461		1 159 634	3 509 702	13 756	997	38 432		303 305	381 420	104 087 345
												14
												3 963 876
2		1										14
2 102		934										53 024
						1						9
						13 092						7 316 659
		2										8
		556 063										2 891 263
10		6		2	9	2	1	4		3	4	174
313 029		296 158		55 630	653 497	123	1 495	119 893		378	105 574	28 864 702
												0
												0
5		3		1				1			2	70
67 763		16 214		21 354				38 432			721	10 812 329
6												39
37 923												29 421 751
3		1		1							6	39
47 752		72 781		27 047							2 771	7 856 818
4						1						15
1 082 094						975 993						3 337 370
		2										11
		328 774										5 206 055
13		2		2	4	3					6	299
3 887 966		174 625		213 390	1 064 627	24 140					120 367	55 264 270
10		1	1	2	8	2				3	4	222
341 251		1 009	7 485	40 161	1 581 647	5 268				9 368	5 104	29 731 069
												0
												0
		1										3
		12 010										14 831
										2		
										4 734		

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
United Kingdom (Cayman Islands)	a	2									
	b	5 284									
United Kingdom (Gibraltar)	a	3		3			3				
	b	8 625		14 014			180 738				
United Kingdom (St Helena)	a			1							
	b			3 003							
Other European countries	a	164	11	29	46	66	74	38	1	25	210
	b	34 045 217	54 486	2 385 711	4 431 874	3 325 864	5 930 567	11 980 041	180 150	6 128 303	20 872 838
Albania	a										
	b										
Andorra	a										
	b										
Armenia	a						1				
	b						87 073				
Azerbaijan	a										
	b										
Belarus	a										
	b										
Bosnia and Herzegovina	a	1			1			1			
	b	2 876			72			120			
Croatia	a	9					1	2			1
	b	15 013 412					1 015 496	8 419			5 405
Former Yugoslav Republic of Macedonia	a						1				
	b						37 390				
Georgia	a	5		4		1	4	1			
	b	917 108		334 635		126 105	153 428	8 407			
Holy See	a										
	b										
Iceland	a	5		1							
	b	485 496		399 032							

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
										2		
										5 284		
												9
												203 378
												1
												3 003
95	0	24	5	17	5	6	13	1	0	6	35	871
20 267 287	0	1 104 266	115 566	12 761 128	406 921	18 303 881	72 220	30 025	0	2 064 004	18 294 143	162 754 492
												0
												0
												0
												0
												1
												87 073
												0
												0
												0
												0
							1					4
							1 288					4 356
2											1	16
3 931											115 296	16 161 960
						1				1		3
0						92 621				4 218		134 229
1				1							1	18
6 005				12 010							0	1 557 697
												0
												0
2												8
8 464												892 992

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
Kosovo (under UNSCR 1244/99)	a				1		1	1			
	b				36 384		11 203	56 817			
Liechtenstein	a										
	b										
Monaco	a	1					1				
	b	78 545					14 412				
Montenegro	a				1						
	b				1 988						
Norway	a	31	4	5	8	2	1	10	1	2	
	b	5 201 537	14 789	808 986	132 966	58 933	2 388	394 940	180 150	1 498 560	
Republic of Moldova	a										
	b										
Russian Federation	a	42		4	1	1	4	2		6	4
	b	1 088 097		403 568	15 181	468 390	809 641	16 044		1 055 938	860 468
Serbia	a	1		3	2	1	2				13
	b	6 929 504		108 270	10 940	2 647	234 519				2 756 295
St Marino	a										
	b										
Switzerland	a	20	1	4	1	7	12	2		1	83
	b	1 445 738	5 583	57 844	814	871 082	529 882	931		1 650	12 327 476
Turkey	a	22	6	5	29	54	46	18		16	107
	b	1 303 352	34 114	72 292	3 387 504	1 798 707	3 035 136	11 493 763		3 572 155	3 787 889
Ukraine	a	27		3	2			1			2
	b	1 579 552		201 083	846 024			601			1 135 305
Middle East	a	178	17	87	48	80	118	19	1	32	230
	b	66 130 683	4 798 314	19 821 156	18 775 674	15 308 907	82 478 877	3 623 435	13 302	16 382 511	1982 844 445
Bahrain	a	14	4	7	1	5	4				9
	b	7 341 036	1 905 907	141 662	740	72 110	2 916				5 127 524
Egypt	a	5		4	1	1	6			1	8
	b	4 079 441		521 479	66 353	8 407	1 234 763			39 813	52 419 825
Iran	a										
	b										
Iraq	a	2	2	1		2	4	2		1	1

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
1		2										6
2 110		148 083										254 598
												0
												0
				1								3
				594 495								687 452
												1
												1 988
9				4			1				5	83
186 492				236 381			48 040				18 015 597	26 779 757
						1						1
						159 193						159 193
1		2		1		2	1	1			1	73
32 811		745		17 790		18 046 543	4 682	30 025			12	22 849 936
							6				8	36
							12 882				56	10 055 114
												0
												0
17		5	2	3	2		2			1	3	166
435 197		162 791	47 513	756 015	10 616		1 717			1 201 000	120	17 855 968
62		13	3	7	3	2	2			4	15	414
19 592 277		368 695	68 053	11 144 437	396 305	5 525	3 609			858 786	146 248	61 068 847
		2									1	38
		423 953									16 814	4 203 332
149	0	56	9	20	2	11	11	2	0	41	44	1 155
44 774 246	0	5 795 416	2 854 938	7 600 924	24 556	4 093 181	1 031 444	759 032	0	10 716 549	2 492 236	2290 319 825
5		2				2					2	55
424 362		960 800				3 884 044					1 498 325	21 359 426
5		2					2			2		37
2 378 086		240 200					154 450			829		61 143 644
												0
												0
3		4		1		1	2			1	3	30

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
	b	312 968	2 188 029	26 231		2 242 123	130 910	31 154		4 163 845	693 980
Israel	a	2		4	15	42	14	2		16	30
	b	2 298 560		102 709	814 944	1 399 640	620 584	30 174		275 147	1 758 125
Jordan	a	14		7		1	16	1			17
	b	2 072 427		1 705 021		16 934	20 609 191	22 219			4 525 189
Kuwait	a	24		2	1		2	1			17
	b	2 645 079		1 133 168	3 675		7 403 466	4 028			3 868 186
Lebanon	a	3		2			2				1
	b	1 357 643		2 890 687			275 681				1 442
Oman	a	49	8	31	8	11	28	3	1	3	42
	b	33 167 814	310 835	3 694 325	386 624	319 269	4 901 577	1 215 443	13 302	11 528	3 133 113
Palestinian controlled territories	a										
	b										
Qatar	a	13	1	5	1		3	1			2
	b	5 178 981	0	52 986	395		42 340	2 681			2 095 422
Saudi Arabia	a	16	1	9	14	9	14	1		7	25
	b	1 207 427	374 700	9 068 767	8 887 047	697 377	1 247 149	1 483 202		215 316	1903 173 775
Syria	a										
	b										
United Arab Emirates	a	36	1	15	7	9	25	8		4	76
	b	6 469 308	18 844	484 122	8 615 896	10 553 046	46 010 302	834 535		11 676 861	5 037 314
Yemen	a										2
	b										1 010 552
Oceania	a	147	22	4	14	1	16	24	5	7	17
	b	3 807 417	129 231	11 573	1 579 196	35 430	2 055 475	813 109	19 219	66 202	24 423 769
Australia	a	92	4	1	11	1	14	21	4	7	16
	b	3 493 684	73 313	688	601 343	35 430	2 044 356	608 760	19 178	66 202	24 423 169
Fiji	a										
	b										
Kiribati	a										
	b										
Marshall Islands	a										
	b										

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
474 014		89 595		103 838		120	573 237			1	76 984	11 107 030
42		3	1	1	1	4				5	7	189
3 358 589		38 292	437 990	37 248	14 324	98 719				33 928	728 407	12 047 379
9		1	2	2			4			6	8	88
626 210		18 055	237 750	149 224			242 739			1 444 018	721	31 669 696
4		2	2	1			1			1	2	60
54 122		6 822	1 188 134	50 394			14 010			8 815 340	0	25 186 422
2		1										11
108 988		58 633										4 693 073
24		24	1	5						2	5	245
950 821		3 011 628	28 359	322 136						1 202	0	51 467 975
												0
												0
4		2		2						1	6	41
50 391		173 755		154 232						1	3 215	7 754 399
26		11		2		1	2			7	3	148
10 740 852		1 109 698		33 124		1 948	47 008			128 807	19 217	1938 435 413
												0
												0
25		4	3	6	1	3		2		16	8	249
25 607 811		87 941	962 705	6 750 727	10 233	108 349		759 032		292 422	165 368	124 444 816
												2
												1 010 552
11	0	0	0	0	1	3	1	0	0	2	9	284
112 524	0	0	0	0	313 449	54 285	63	0	0	18 587	36 414	33 475 942
8					1	3				1	7	191
90 704					313 449	54 285				8 859	18 387	31 851 805
												0
												0
												0
												0
												0
												0

a Number of licences issued		EU Common Military List category									
b Value of licences in Euros											
		ML 1	ML 2	ML 3	ML 4	ML 5	ML 6	ML 7	ML 8	ML 9	ML 10
Micronesia (Fed States of)	a										
	b										
Nauru	a										
	b										
New Zealand	a	55	18	3	3		2	3	1		
	b	313 733	55 917	10 885	977 853		11 119	204 350	41		
Palau	a										
	b										
Papua New Guinea	a										1
	b										601
Samoa	a										
	b										
Solomon Islands	a										
	b										
Tonga	a										
	b										
Tuvalu	a										
	b										
Vanuatu	a										
	b										
TOTAL PER ML category	a	1 571	135	430	453	609	580	325	38	344	2 536
	b	434 321 833	21 930 544	56 630 677	594 008 208	127 379 369	149 473 784	113 386 824	5 247 221	351 272 514	2831 557 671

EU Common Military List category												
ML 11	ML 12	ML 13	ML 14	ML 15	ML 16	ML 17	ML 18	ML 19	ML 20	ML 21	ML 22	TOTAL per destination
												0
												0
												0
												0
2							1			1	2	91
10 204							63		0	9 728	18 027	1 611 920
												0
												0
												1
												601
												0
												0
												0
												0
1												1
11 617												11 617
												0
												0
												0
												0
969	0	368	64	151	139	87	53	15	0	213	418	9 498
287 918 307	0	53 843 071	10 046 111	45 206 195	20 603 962	33 571 844	6 081 902	1 266 127	0	43 406 741	45 312 578	5232 465 481

Annex E

International Commitments and Sanctions Regimes

Table E.I

The following table lists the UK's non-proliferation commitments, and their areas of coverage. Also shown in the list are other international organisations involved directly in export controls.

Table E.I	
Areas of coverage	Commitment
Nuclear	<ul style="list-style-type: none"> • Treaty on the Non-Proliferation of Nuclear Weapons (NPT) • The Zangger Committee • Nuclear Suppliers Group (NSG)
Chemical and Biological	<ul style="list-style-type: none"> • The Chemical Weapons Convention (CWC) • The Biological and Toxin Weapons Convention (BTWC) • The Australia Group • The Protocol for the Prohibition of the Use in War of Asphyxiating, Poisonous or Other Gases, and of Bacteriological Methods of Warfare (known as the 1925 Geneva Protocol)
WMD Delivery Systems	<ul style="list-style-type: none"> • The Missile Technology Control Regime (MTCR)

Table E.I (continued)

Areas of coverage	Commitment
Conventional Weapons	<ul style="list-style-type: none"> • The Wassenaar Arrangement (WA) • The Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-Personnel Mines and on their Destruction (known as the Ottawa Treaty) • The UN Convention on Certain Conventional Weapons • The Convention on Cluster Munitions (known as CCM or Oslo Treaty) • The Arms Trade Treaty
Other Organisations involved directly in Strategic Export Controls	<ul style="list-style-type: none"> • United Nations (UN), including the UN Security Council • G8 Initiatives • European Union (EU) • Organisation for Security and Co-operation in Europe (OSCE)

Table E.II

The following table shows countries which are subject to UN, EU, OSCE and other restrictions on the export of items.

Table E.II		
Country	Source	Instrument
Afghanistan	UN EU	UNSCR 1988 (2011) and 2082 (2013). Council Decision 2011/486/CFSP, as amended. Council Regulation (EU) No 753/2011, as amended.
Armenia & Azerbaijan	OSCE	Decision of the Committee of Senior Officials of the OSCE 28/02/92.
Belarus	EU	Council Decision 2012/642/CFSP. Council Regulation (EC) No 765/2006, as amended.
Burma	EU	Council Decision 2013/184/CFSP Council Regulation (EU) 401/2013, as amended.
China	EU	Declaration by the Madrid European Council 27/06/89.
Cote d'Ivoire	UN EU	UNSCR 1572 (2004) Most recently amended by UNSCR 1980 (2011). Council Decision 2010/656/CFSP, as amended. Council Regulation (EU) 174/2005, as amended.
Democratic Republic of Congo	UN EU	UNSCR 1807 (2008). Council Decision 2010/788/CFSP, as amended. Council Regulation (EC) No 889/2005, as amended.

Table E.II (continued)

Country	Source	Instrument
Eritrea	UN EU	UNSCR 1907 (2009). UNSCR 2060 (2012). Council Decision 2010/127/CFSP, as amended. Council Regulation (EU) 667/2010, as amended.
Guinea	EU	Council Decision 2010/638/CFSP, as amended. Council Regulation (EU) 1284/2009, as amended.
Iran (Nuclear)	EU	Council Decision 2010/413706/CFSP, as amended. Council Regulation (EU) No 267/2012, as amended.
Iran (Human Rights)	EU	Council Decision 2011/235/CFSP, as amended. Council Regulation (EU) No 359/2011, as amended.
Iraq	UN EU	UNSCR 661 (1990). UNSCR 1483 (2003). UNSCR 1546 (2004). Common Position 2003/495/CFSP, as amended. Council Regulation (EC) No 1210/2003, as amended.
Lebanon	UN EU	UNSCR 1701 (2006). Common Position 2006/625/CFSP. Council Regulation (EC) 1412/ 2006, as amended.

Table E.II (continued)		
Country	Source	Instrument
Liberia	UN	UNSCR 1903 (2009).
	EU	Common Position 2004/487/CFSP, as amended by 2010/129/CFSP. Council Regulation (EC) 234/2004, as amended.
North Korea	UN	UNSCR 1718 (2006) and 1874 (2009).
	EU	Common Position 2008/109/CFSP, as amended. Council Regulation (EC) No 234/2004, as amended.
Libya	UN	UNSCR 1970 (2011) UNSCR 2009 (2011) UNSCR 2095 (2013)
	EU	Council Decision 2011/137/CFSP, as amended. Council Regulation (EU) No 204/2011, as amended.
Somalia	UN	UNSCR 733 (1992) UNSCR 1356 (2001) UNSCR 1425 (2002) UNSCR 1772 (2007) UNSCR 1851 (2008) UNSCR 2111 (2013)
	EU	Council Decision 2010/231/CFSP, as amended. Council Regulation (EC) No 147/2003, as amended.
South Sudan	EU	Council Decision 2011/423/CFSP. Council Regulation (EC) No 131/2004, as amended.

Table E.II (continued)		
Country	Source	Instrument
Sudan	UN	UNSCR 1556 (2004) UNSCR 1591 (2005) UNSCR1945 (2010).
	EU	Council Decision 2011/423/CFSP. Council Regulation (EC) No 131/2004, as amended.
Syria	EU	Council Decision 2012/739/CFSP, as amended. Council Regulation (EU) No 36/2012, as amended.
Zimbabwe	EU	Council Decision 2011/101/CFSP, as amended. Council Regulation (EC) 314/2004, as amended.

In addition, it is UK policy to take into account the moratorium by ECOWAS (the Economic Community of West African States) on the import, export and manufacture of small arms and light weapons when considering relevant licence applications to export small arms and light weapons to ECOWAS Member States (Benin, Burkina Faso, Cape Verde, Cote d'Ivoire, Gambia, Ghana, Guinea, Guinea Bissau, Liberia, Mali, Niger, Nigeria, Senegal, Sierra Leone and Togo). The ECOWAS moratorium applies to pistols, rifles, shotguns, sub-machine guns, carbines, machine guns, anti-tank missiles, mortars and howitzers up to 85mm and ammunition and spare parts for the above. The moratorium was declared on 1 November 1998 and a code of conduct on its implementation was agreed on 24 March 1999.

