



Department  
for Business  
Innovation & Skills

# Open licence returns

User guidance

# Overview

From 1 January 2014 exporters will be required, under the terms and conditions of certain open licences (see [Appendix I](#)), to provide details of all trades taking place under these licences on a yearly basis. You should upload this information on SPIRE at the time of each trade, or by the end of January the following year. This is to meet the terms of the Secretary of State's Transparency in Export Licensing Initiative. The information will be combined and published every year for the year that has just passed.

This guidance shows how to submit licence returns to BIS.

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# Quick guide

Here is an overview of how to submit your returns. The steps are explained in more detail in the following sections.

1. You will need to have records of your open licences and trades to hand.
2. Log in to SPIRE as usual.
3. Click the 'Open Licence - Returns' link in the left-hand side menu of your workbasket.
4. Click the 'Add Return' button. Select the licence the trades were made under. Select or enter the destination, end user type, number of shipments and the year in which the trades were made.
5. Repeat step 4 for each combination of destinations and end user types.
6. Click 'Submit Returns'. If there are any problems, a red cross will be shown next to the fields you need to correct. Fix these problems and click 'Submit Returns' again.
7. A message will show how many returns were submitted. You can now exit this screen.

# Entering returns

Log in to SPIRE. In your workbasket, click 'Open Licence - Returns' in the left-hand side menu.

Click 'Add Return' to create a new record. Enter a licence to unlock the other fields.

To enter a licence, you can either start typing the licence number and select from the list that appears, or you can click the arrow to pick from the full list of licences. The destination field can be completed in the same way.

Each return should report one or more trades made under a licence to a single end user type in a single destination country.

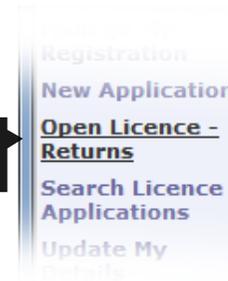
For example, if you make two different shipments under the same OGEL to the same type of end user (even if the actual end users are different) in the same country, you could combine these in to a single line and enter '2' in 'Usage Count'. You could also submit two separate returns, each with '1' in 'Usage Count'.

When you have finished, click 'Submit Returns'. Your returns will be validated to check that the destination country and end user type conform to the terms of the licence, and that the license was extant in the selected year.

If there are any validation errors, place your cursor over the red crosses to see more information. Correct the errors and click 'Submit Returns' again. When all returns are valid, they will be submitted to BIS.

You can leave this screen at any time by clicking the 'Workbasket' link in the top menu. Your returns will be saved automatically, in draft form, and will appear next time you visit this screen.

As well as returns entered by you, this screen may show returns by other users in your organisation for licences you have access to.



Click 'Open Licence - Returns'

[Page size: 100]Page: [1]

| Info                     | Licence Number    | Destination | End User Type | Usage Count | Period       | Nil | Cancel |
|--------------------------|-------------------|-------------|---------------|-------------|--------------|-----|--------|
| <input type="checkbox"/> | GBOGE2009/00070 x |             | Select type   |             | 01-JAN-13 to |     |        |

Only permitted destinations are shown

[Page size: 100]Page: [1]

Add Return Refresh List Validate Current Page Submit Returns

Other users from your company may also be entering returns. Click 'Refresh List' to check for any changes they've made.

To cancel a return, click the red cross icon. To cancel several, tick the checkboxes in the first column and click 'Cancel Marked Returns' above.

## End user types

The 'end user' on open licence returns is the first person/organisation using the goods (in the form that they left the source country). Therefore the 'End User Type' relates to the nature of business of the 'End User' organisation; 'Government' or 'Commercial' unless a Private Individual ('Pvt Individual') or for academic institutions 'Other'.

## Validation

You may validate entries made on screen by using the 'Validate Current Page' button. Errors will be marked with a red cross; placing your cursor over the cross will display information about the error.

**Please Note:** If you decide to remove a line, by clicking cancel, the validation will be cleared and you will need to click 'Validate Current Page' again to see any errors.

## Nil returns

If no trades have been made under a licence in the reporting year, you must submit a nil return for that licence. To do this add a new return, select the licence in the 'Licence Number' dropdown, select the applicable year in the 'Period' dropdown and tick the 'Nil' checkbox. Do not fill in any other fields. Submit the return as usual, along with any other returns you are making.

You should only submit a nil return if you are sure that no trades have been, or will be made under the licence in the selected year.

## Viewing submitted returns

You can view all returns you have submitted in the past by clicking the 'Submitted Returns' link in the left-hand menu of the Open Licence Returns screen.

## Reporting errors

If you have sent a nil return in error continue to submit a usage return and the nil return will be deleted. If other incorrect returns have been submitted contact the ECO helpdesk on 020 7215 4594 or email [spire@bis.gsi.gov.uk](mailto:spire@bis.gsi.gov.uk) giving details of the licence number and incorrect return made.

## Reporting technology exports

You are not required to report on exports of 'technology'. In this context 'technology' means information, including but not limited to information comprised in software and documents such as blueprints, manuals, diagrams and designs, that is capable of use in connection with the development, production or use of any goods.

## Reporting temporary exports

Some licences will cover the temporary export of goods. These exports should be included in your returns.

# Quality assurance

Once a return has been submitted, it may be checked by BIS for quality assurance purposes. If BIS think a return requires amendment, they will pass it back to you. Your company's Open Licence Returns Contact will receive an email informing them of this. By default the Open Licence Returns Contact is your company's SPIRE administrator, but they can reassign this role by visiting the 'Manage My Registration' link from the workbasket and clicking the 'Organisation Security' tab. If returns have been passed back to you, log in to SPIRE and go to the Open Licence Returns screen. The icon in the 'Info' column will be a yellow warning triangle. Place your cursor over this icon to see the reason BIS gave for passing the return back.

Make any necessary changes and re-submit the return. If the return has been made in error and you need to withdraw it, click the red cross icon in the 'Cancel' column. You will need to enter a justification for withdrawing the return. Once you have entered this, submit the return as usual.

# Making returns via a spreadsheet

Instead of entering returns information on the screen, you can upload a spreadsheet containing returns information and the table on the open licence returns screen will be filled in automatically.

You can use the template provided, or generate the spreadsheet from your systems. See [Appendix II](#) for important information if you plan to generate the spreadsheet automatically. If you want to use the template provided on SPIRE, click 'Download Template' and save the template to your computer. Do not add or remove columns in this spreadsheet.

The template provides you with dropdown menus containing all your licences in the 'Licence' column as well as destination, end user type and period information. If you are issued with a new licence, you must download the template again for this licence to appear in the dropdown. You should also download a new template every year to ensure the 'Period' dropdown is up-to-date.

You can complete the spreadsheet using the dropdown choice fields, apart from the usage count where you need to enter a number. Nil returns and editing existing returns is not supported via spreadsheet uploads.

When you save your completed spreadsheet, you must save it as an Excel 97-2003 Workbook. If you upload an Excel 2007 (.xlsx) file, you will see an error.

To upload your spreadsheet, click the 'Search for file to upload...' link on the Open Licence Returns screen. Click 'Browse...' to select your file. Click 'Start Upload' to upload the file.

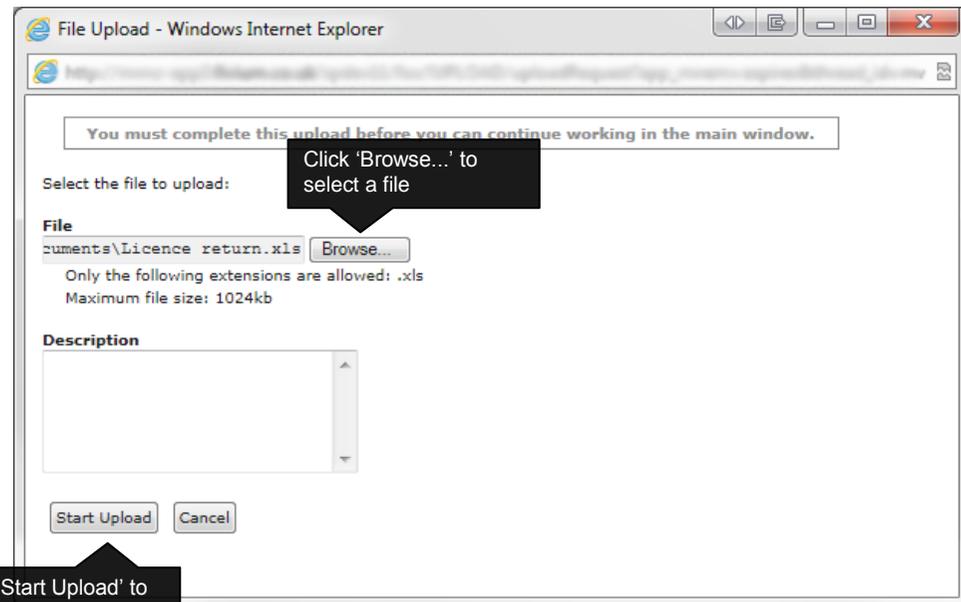
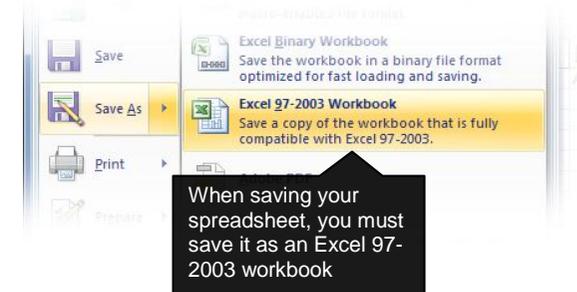
If your upload is successful, your returns will appear in the list. Large spreadsheets may take longer to process. The maximum file size is 1024kb.

## Download

Instead of manually entering returns information, please use the template provided. Please note that if a new licence is issued, or if you have a new licence, you must download a new template.

Download Template

Click the 'Download Template' button



# Appendix I: Open licences which require returns

You are required to submit usage returns for the following licence types, except for trade of 'technology' (in this context 'technology' means information, including but not limited to information comprised in software and documents such as blueprints, manuals, diagrams and designs, that is capable of use in connection with the development, production or use of any goods).

**Open Individual Export Licences (OIELs)** except dealer OIELs

OGEL (International non-proliferation regime de-controls: dual-use items)

**Open Individual Trade Control Licences (OITCLs)**

OGEL (international non-proliferation regime decontrols: military items)

**Open General Export Licences (OGELs) and Open General Trade Control Licences (OGTCLs) as follows:**

OGEL (Low value shipments)

OGEL (Certified companies)

OGEL (Military Components)

OGEL (Chemicals)

OGEL (Military Goods, Software and Technology)

OGEL (Dual-use items: Hong Kong Special Administrative Region)

OGEL (Military Goods, Software and Technology: Government or NATO End-Use)

OGEL (Export after repair/replacement under warranty: dual-use items)

OGEL (Military Goods: Collaborative Project Typhoon)

OGEL (Export after repair/replacement under warranty: Military Goods)

OGEL (Military Goods: For Demonstration)

OGEL (Export for exhibition: Military Goods)

OGEL (Military Surplus Vehicles)

OGEL (Export for repair/replacement under warranty: dual-use items)

OGEL (Oil and gas exploration: dual-use items)

OGEL (Export for repair/replacement under warranty: Military Goods)

OGEL (Turkey)

OGEL (Exports in support of joint strike fighter: F-35 Lightning II)

OGEL (X)

OGEL (Exports or transfers in support of UK Government Defence Contracts)

OGTCL (Category C Goods)

OGEL (Exports under the US-UK Defence Trade Co-operation Treaty)

OGTCL (Maritime Anti-Piracy)

OGEL (Historic Military Goods)

OGTCL (Trade and Transportation: Small Arms and Light Weapons)

# Appendix II: Generating spreadsheets

If you are going to automatically produce spreadsheets from your own systems, they must be structured as follows:

- The file uploaded must be in XLS (Excel 97-2003) format. Uploading XLSX (Excel 2007 onwards) or CSV (comma-separated values) format files will cause an error. If your system can only produce CSV or XLSX, you can open these in Excel and use the 'Save As' option to save as an XLS file.
- The file must contain a worksheet called 'SpireLicenceReturns1', which contains your returns data. It may contain other sheets for your own purposes, but these will not be processed by SPIRE.
- The first row must contain column headers, or be blank. It must not contain returns data.
- Columns must start from column A and be in the following order:
  - Licence number
  - Destination
  - End user type
  - Usage count
  - Period
- Licence number must be in one of the following formats:
  - GBOXX20XX/XXXXX (e.g. GBOIE2013/00001)
  - GBOXX20XX/XXXXXx for amended licences (e.g. GBOIE2013/00001a)
- Destination: See [Appendix III](#) for permitted destination names.
- End user type must be one of the following, entered exactly as shown here:
  - Government
  - Commercial
  - Pvt Individ.
  - Other
- Usage count must be a positive integer
- Period must be in the following format, entered exactly as shown with YY replaced with the last two digits of the year:
  - 01-JAN-YY to 31-DEC-YY
- Nil returns and editing existing returns are not supported via spreadsheet upload. Please enter nil returns directly in SPIRE.

**Please Note:** If you upload a spreadsheet with an invalid licence number, any returns with the invalid number will not be created. A message will appear informing you of any invalid licence numbers. If other fields are invalid, the return will still be created but the invalid field will either be empty (Usage Count) or will be marked with a red cross when you validate the page or attempt to submit.

# Appendix III: Destination name list

This is the list of destinations that SPIRE will accept in the Destination column of your spreadsheet. Destination names must be entered exactly as they appear here.

|                     |                                |                                |   |                    |
|---------------------|--------------------------------|--------------------------------|---|--------------------|
| Abu Dhabi           | Australian Antarctic Territory | Bosnia and Herzegovina         | Central African Republic                | Cook Islands       |
| Afghanistan         | Austria                        | Botswana                       | Ceuta                                   | Corn Islands       |
| Ajman               | Azerbaijan                     | Bouvet Island                  | Chad                                    | Costa Rica         |
| Aland Islands       | Azores                         | Brazil                         | Chile                                   | Croatia            |
| Albania             | Bahamas                        | British Antarctic Territory    | China                                   | Cuba               |
| Alderney            | Bahrain                        | British Indian Ocean Territory | Christmas Island                        | Curacao            |
| Algeria             | Baker Island                   | British Virgin Islands         | Cocos Islands                           | Cyprus             |
| American Samoa      | Bangladesh                     | Brunei                         | Colombia                                | Czech Republic     |
| Andorra             | Barbados                       | Bulgaria                       | Comoros                                 | Denmark            |
| Angola              | Belarus                        | Burkina Faso                   | Congo                                   | Djibouti           |
| Anguilla            | Belgium                        | Burma                          | Congo, Democratic Republic of           | Dominica           |
| Antarctica          | Belize                         | Burundi                        | Continental Shelf Danish Sector         | Dominican Republic |
| Antigua and Barbuda | Benin                          | Cambodia                       | Continental Shelf Netherlands Sector    | Dubai              |
| Argentina           | Bermuda                        | Cameroon                       | Continental Shelf Norwegian Sector      | Ecuador            |
| Armenia             | Bhutan                         | Canada                         | Continental Shelf United Kingdom Sector | Egypt              |
| Aruba               | Bolivia                        | Cape Verde                     |   | El Salvador        |
| Ascension           | Bonaire                        | Cayman Islands                 |   | Equatorial Guinea  |
| Australia           |                                |                                |   | Eritrea            |

|                             |                            |                |                  |                                |
|-----------------------------|----------------------------|----------------|------------------|--------------------------------|
| Estonia                     | Grenada                    | Israel         | Lebanon          | Mauritius                      |
| Ethiopia                    | Guadeloupe                 | Italy          | Les Saintes      | Mayotte                        |
| Falkland Islands            | Guam                       | Ivory Coast    | Lesotho          | Melilla                        |
| Faroe Islands               | Guatemala                  | Jamaica        | Liberia          | Mexico                         |
| Fiji                        | Guernsey                   | Japan          | Libya            | Micronesia                     |
| Finland                     | Guinea, Republic of        | Jarvis Island  | Liechtenstein    | Midway Island                  |
| France                      | Guinea-Bissau              | Jersey         | Lithuania        | Moldova                        |
| French Antarctic Territory  | Guyana                     | Johnston Atoll | Luxembourg       | Monaco                         |
| French Guiana               | Haiti                      | Jordan         | Macao            | Mongolia                       |
| French Polynesia            | Heard and McDonald Islands | Kazakhstan     | Macedonia        | Montenegro                     |
| French Southern Territories | Honduras                   | Kenya          | Madagascar       | Montserrat                     |
| Fujairah                    | Hong Kong                  | Kingman Reef   | Madeira          | Morocco                        |
| Gabon                       | Howland Island             | Kiribati       | Malawi           | Mozambique                     |
| Gambia                      | Hungary                    | Korea, North   | Malaysia         | Namibia                        |
| Georgia                     | Iceland                    | Korea, South   | Maldives         | Nauru                          |
| Germany                     | India                      | Kosovo         | Mali             | Nepal                          |
| Ghana                       | Indonesia                  | Kuwait         | Malta            | Netherlands                    |
| Gibraltar                   | Iran                       | Kyrgyzstan     | Maria-Galante    | New Caledonia and Dependencies |
| Gough                       | Iraq                       | La Desirade    | Marshall Islands | New Zealand                    |
| Greece                      | Ireland                    | Laos           | Martinique       | Nicaragua                      |
| Greenland                   |                            | Latvia         | Mauritania       |                                |

|                                     |                       |   |                          |   |
|-------------------------------------|-----------------------|---|--------------------------|---|
| Niger                               | Qatar                 | Solomon Islands                             | Swan Islands             | Ukraine                                 |
| Nigeria                             | Ras al Khaimah        | Somalia                                     | Swaziland                | Umm al Qaiwain                          |
| Niue                                | Reunion               | South Africa                                | Sweden                   | United States                           |
| Norfolk Island                      | Romania               | South Georgia and South<br>Sandwich Islands | Switzerland              | United States Minor<br>Outlying Islands |
| Northern Mariana Islands            | Ross Dependency       | Spain                                       | Syria                    | United States Virgin<br>Islands         |
| Norway                              | Russia                | Sri Lanka                                   | Taiwan                   |   |
| Occupied Palestinian<br>Territories | Rwanda                | St Barthelemy                               | Tajikistan               | Uruguay                                 |
| Oman                                | Saba                  | St Christopher and Nevis,<br>Federation of  | Tanzania                 | Uzbekistan                              |
| Pakistan                            | Samoa                 | St Eustatius                                | Thailand                 | Vanuatu                                 |
| Palau                               | San Marino            | St Helena                                   | Timor-Leste              | Vatican City                            |
| Palmyra Atoll                       | Sao Tome and Principe | St Lucia                                    | Togo                     | Venezuela                               |
| Panama                              | Sarawak               | St Maarten, South                           | Tokelau                  | Vietnam                                 |
| Papua New Guinea                    | Saudi Arabia          | St Martin, North                            | Tonga                    | Wake Island                             |
| Paraguay                            | Senegal               | St Pierre and Miquelon                      | Trinidad and Tobago      | Wallis and Futuna                       |
| Peru                                | Serbia                | St Vincent and the<br>Grenadines            | Tristan da Cunha         | Yemen                                   |
| Philippines                         | Seychelles            | Sudan                                       | Tunisia                  | Zambia                                  |
| Pitcairn Island                     | Sharjah               | Sudan, South                                | Turkey                   | Zimbabwe                                |
| Poland                              | Sierra Leone          | Surinam                                     | Turkmenistan             |   |
| Portugal                            | Singapore             | Svalbard Archipelago                        | Turks and Caicos Islands |   |
| Puerto Rico                         | Slovakia              |   | Tuvalu                   |   |
|                                     | Slovenia              |   | Uganda                   |   |