



# 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 Department for Business and Trade (DBT).

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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 shipments made under a licence to a single end user type in a single destination country. For example, if you make two 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 can combine these into a single line and enter '2' in 'Usage Count'. Alternatively, you may submit two separate returns, each with '1' in 'Usage Count'. The term 'Usage Count' refers to the number of shipments reported.

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 DBT.

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'

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Info	Licence Number	Destination <small>i</small>	End User Type <small>i</small>	Usage Count <small>i</small>	Period <small>i</small>	Nil <small>i</small>	Cancel <small>i</small>
<input type="checkbox"/>	GBOGE2009/00070 <small>x</small> <small>▼</small>	Only permitted destinations are shown	Select type <small>▼</small>		01-JAN-13 to		

[Page size: 100] Page: [1]

Add Return Refresh List Validate Current Page Submit Returns

Only permitted destinations are shown

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.

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

# 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.

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 ECJU helpdesk on 020 7215 4594 or email [exportcontrol.help@businessandtrade.gov.uk](mailto:exportcontrol.help@businessandtrade.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.

## Viewing submitted returns

# Quality assurance

Once a return has been submitted, it may be checked by DBT for quality assurance purposes. If DBT 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 DBT 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.

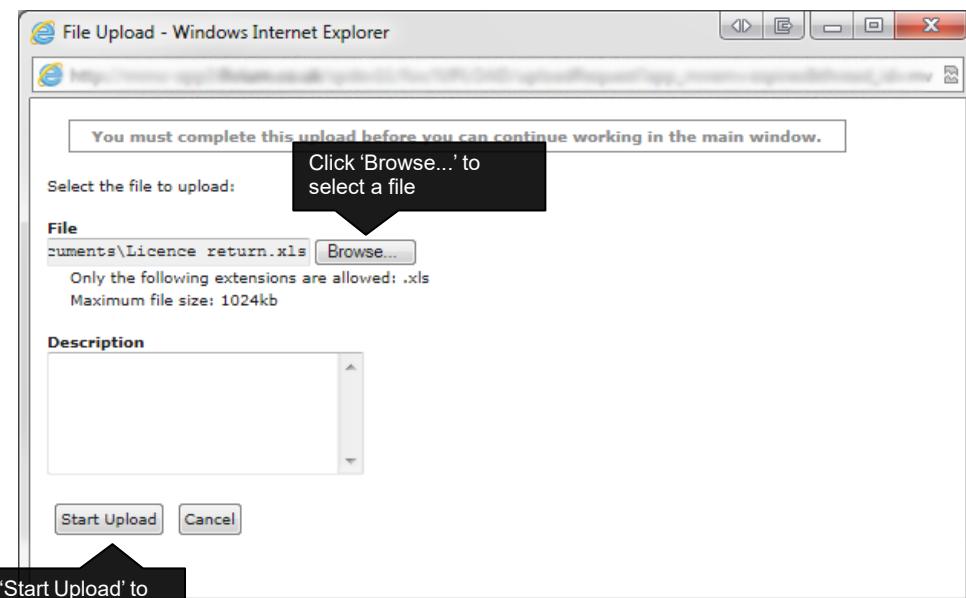
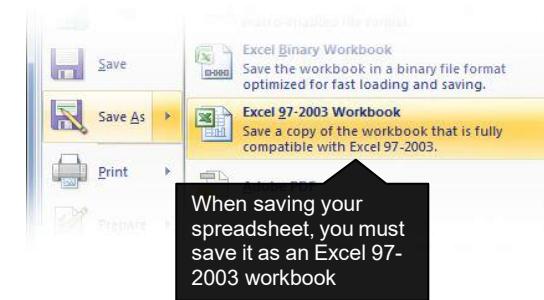
If your upload is successful, your returns will appear in the list. Large spreadsheets may take longer to process. The maximum file size is 1024kb.

## Download

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

[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**

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

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

OGEL (Certified companies) OGEL (Chemicals)

OGEL (Dual-use items: Hong Kong Special Administrative Region) OGEL (Export after repair/replacement under warranty: dual-use items) OGEL (Export after repair/replacement under warranty: Military Goods) OGEL (Export for exhibition: Military Goods)

OGEL (Export for repair/replacement under warranty: dual-use items) OGEL (Export for repair/replacement under warranty: Military Goods) OGEL (Exports in support of joint strike fighter: F-35 Lightning II)

OGEL (Exports or transfers in support of UK Government Defence Contracts OGEL (Exports under the US-UK Defence Trade Co-operation Treaty) OGEL (Historic Military Goods)

OGEL (International non-proliferation regime de-controls: dual-use items) OGEL (international non-proliferation regime decontrols: military items) OGEL (Low value shipments)

OGEL (Military Components)

OGEL (Military Goods, Software and Technology)

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

OGEL (Military Goods: Collaborative Project Typhoon) OGEL (Military Goods: For Demonstration)

OGEL (Military Surplus Vehicles)

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

OGEL (X)

OGTCL (Category C Goods) OGTCL (Maritime Anti-Piracy)

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

# 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**

<b>Open Individual Trade Control Licences (OITCLs)</b>	OGEL (Low value shipments)
<b>Open General Export Licences (OGELs) and Open General Trade Control Licences (OGTCLs) as follows:</b>	OGEL (Military Components)
OGEL (Certified companies)	OGEL (Military goods: A400M collaborative programme)
OGEL (Chemicals)	OGEL (Military goods and technology: India)
OGEL (Dual-use items: India)	OGEL (Military Goods, Software and Technology)
OGEL (Export after repair/replacement under warranty: dual-use items)	OGEL (Military Goods, Software and Technology: Government or NATO End-Use)
OGEL (Export after repair/replacement under warranty: Military Goods)	OGEL (Military Goods: Collaborative Project Typhoon)
OGEL (Export for exhibition: Military Goods)	OGEL (Military Goods: For Demonstration)
OGEL (Export for repair/replacement under warranty: dual-use items)	OGEL (Military Surplus Vehicles)
OGEL (Export for repair/replacement under warranty: Military Goods)	OGEL (Oil and gas exploration: dual-use items)
OGEL (Exports in support of joint strike fighter: F-35 Lightning II)	OGEL (PCBs and components for dual-use items)
OGEL (Exports in support of Turkish Aerospace Industries TF-X programme)	OGEL (PCBs and components for military goods)
OGEL (Exports or transfers in support of UK Government Defence Contracts)	OGEL (X)
OGEL (Exports under the US-UK Defence Trade Co-operation Treaty)	OGTCL (Category C Goods)
OG (Global Combat Air Programme)	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 XLS, 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 Indiv.
  - 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	Equatorial Guinea	El Salvador
Ascension	Bonaire	Cayman Islands	Eritrea	
Australia				

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	Kazakhstan	Macedonia	Montenegro
French Southern Territories	Greenland	Islands	Ireland	Kenya Kingman Reef Kiribati
Fujairah		Honduras		Korea, North Korea, South
Gabon		Hong Kong		Kosovo Kuwait Kyrgyzstan La
Gambia		Howland		Desirade Laos
Georgia		Island		Latvia
Germany		Hungary		
Ghana		Iceland		
Gibraltar		India		
Gough		Indonesi		
Greece		a Iran		
		Iraq		

Madagascar	M	b	e	and
Madeira		i	t	Nicaragua
Malawi	o	q	h	
Malaysia		u		
Maldives	n		e	
Malta	t	e	r	
Maria-Galante	s			
Marshall		N	l	
Islands	e			
Martinique		a	a	
Mauritania	r	m	n	
	r	i	d	
	a	b	s	
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	M	a	w	
	o	N	Cal	
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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	Switzerland	United States Minor
Northern Mariana Islands	Ross Dependency	Slovenia	Sandwich	Surinam
Norway	Russia		Islands Spain	Svalbard Archipelago
Occupied Palestinian Territories	Rwanda		Sri Lanka	
Oman	Saba		St Barthelemy	
Pakistan	Samoa		St Christopher and Nevis, Federation of	
Palau	San Marino		St	
Palmyra Atoll	Sao Tome and Principe		Eustatius	
Panama	Sarawak		St Helena	
Papua New Guinea	Saudi Arabia		St Lucia	
Paraguay	Senegal		St Maarten, South	
Peru	Serbia		St Martin, North	
Philippines	Seychelles		St Pierre and Miquelon	
Pitcairn Island	Sharjah		St Vincent and the Grenadines	
Poland	Sierra Leone		Sudan	
Portugal	Singapore		Sudan,	
Puerto Rico	Slovakia		South	

	Outlying Islands	Island
Syria		
Taiwan	United States Virgin Islands	Wallis and Futuna
Tajikistan	Uru	Yemen
Tanzania	gua	Za
Thailand	y	mbi
Timor-Leste	Uzb	a
Togo	ekis	Zim
Tokelau	tan	bab
Tonga	Van	we
Trinidad and Tobago	uat	
Tristan da Cunha	u	
Tunisia	Vati	
Turkey	can	
Turkmenistan	City	
Turks and Caicos Islands	Ven	
Tuvalu	ezu	
Uganda	ela	
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