



Australian Government
Department of Defence
Defence Export Control Office

Defence Export Controls

Leonard Wills

Defence Export Controls
Department of Defence



Is a permit required?

- Peruse the Defence Export Control website
 - Training
 - Guides
 - FAQ pages
 - Legislation
- Use the Online DSGL Tool
 - Activity Questionnaire
 - Defence and Strategic Goods List (DSGL) search
- If you are still unsure, submit a 'Request for DSGL/Activity Assessment'
 - Assessed within 15 working days
 - A letter of advice (Export Control Advice) will give guidance on next actions

Is a permit required?

- If a permit is required there are permit options
 - “Application to Export or Supply Controlled Goods and Technology” to apply for a permit
 - Tailored to suit circumstances
 - Specified items to specified persons (eg can be at the institution level)
 - 5 year or *Life of Contract/Project*” permit
 - Multi-Party (Project) permits
 - Australian General Export Licences
 - Pre-approved goods and destinations
 - Simpler application and assessment process

The Application Process

- Forms are downloadable PDFs which must be completed and submitted electronically to Defence Export Controls
- Descriptions of the items, software, technology or research should be sufficient that the technical and risk assessors can understand what is being assessed
- Think broadly when describing research
- List who will receive the items (eg institutions)
- Letters and permits will be sent back to the applicant electronically

Applying for a permit - Attachments

- Technical assessors require sufficient information to make an assessment on the control status
 - Technical specifications and/or brochures
 - Research proposal or contract
 - Journal paper
- Risk assessors require documentation to assess end users and end-use
 - End-User Certificates or Statements
 - Foreign government import/export approvals
 - Purchase Order
 - Additional information or statement

Technical and Risk Assessments

- Technical Assessment
 - Is the good, software or technology listed on the DSGL?
 - Discuss with applicant
 - Liaise with other government and non-government experts, including internationally
 - If the item is not DSGL-listed, is there a WMD or Military End-Use concern?
 - Issue an Export Control Assessment with advice on why the item/s are not subject to export controls
 - If the item is DSGL-listed, or there is a WMD or Military End-Use concern?
 - send for a risk assessment

Technical and Risk Assessments

- Risk Assessment
 - Assess the items, destination, end-use and the end-users against the policy criteria
 - International Obligations
 - Human Rights
 - Regional Security
 - National Security
 - Foreign Policy
 - Obtain expert advice from other parts of Defence and Government agencies
 - If this is required, then we'll tell you and it may extend the time needed to finalise assessment
 - Discuss the application with the applicant, including risks

Delegate Decision

- The outcomes of all applications are reviewed and approved by a Delegate
- Permit is issued
 - On receipt, check that it is what you expected and ask questions if you're unsure of anything, including any conditions that have been added
 - Ensure that the people who need the permit know of what is expected to comply with the permit and its conditions – record keeping
 - Users to review the permit if their research, or end-users change from the original application
 - Close to expiry we'll send you a reminder to renew the permit, if required

Changing a Permit







- Things change!!
 - Permit holders should re-assess at appropriate milestones in a project or activity to confirm that the permit covers any changes
 - Amendments to a permit are usually pretty straight forward, but the changing risk needs to be assessed
 - Send us an email with the details of what needs to change
 - We'll assess the changes, and if there's no concerns, we'll send you an amended permit

Multi-Party Permits

- A single applicant can apply for permits on behalf of others
- Useful for joint projects or collaborative activities
- Start with the 'Application for DSGL/Activity Assessment'
 - We'll appoint a Point of Contact to work with you
- Any items requiring a permit, apply using the 'Application to Export or Supply Controlled Goods and Technology'

- Broad licences for pre-approved list of goods and technology going to pre-approved list of destinations
 - AUSGEL1
 - the export and supply of certain Dual-Use Goods, Software and Technology – these are listed on the licence
 - 25 approved destinations are members of all 4 export control regimes
- Valid for 5 years, but in some circumstances a longer validity period may be approved
- Much simpler application and assessment process

Resources Delivered to Assist You

Online DSGT Tool – Questionnaire and search tool	
Specific activity and DSGT assessment request form and advice	
Detailed information and FAQs on export controls	
Online Training – with research specific scenarios	
Guidance for compliance policy and procedures	
Broader licence options – AUSGELs, multi-party permits, contract based permits	

- Self-assessment tool to assist in determining if a permit is required
 - **Activity Questionnaire** will assist you to determine if your export, supply, publishing or brokering activity is controlled
 - **DSGL Search** tool will assist you to identify whether your goods, software or technology are controlled
 - Results can be saved and printed for your records

<https://dsgl.defence.gov.au>

DSGL Online Tool statistics

- Between 4,000 and 6,000 searches are being conducted each month
- Top queries for the search tool include:
 - ‘Encryption’;
 - ‘Laser’;
 - ‘Computer’;
 - ‘Software’;
 - ‘Cryptography’;
 - ‘UAV’; and
 - ‘Radar’.

Our Experience to date

- Just 41 applications received to date from Universities
- The ‘conversation’ is important – the form doesn’t always capture all of the detail
- Almost half of the applications resulted in advice that the research is not controlled, or is only controlled in certain circumstances
 - This is to assist researchers and the compliance areas to gain skills for self-assessing
- Use the Online DSGL Tool
- Submit the DSGL Advice/Activity Assessment application first if you’re unsure

Compliance with Export Control laws

- Organisations should have in place effective export control compliance policies and procedures
- Made available to their members/employees
- We're setting up Points of Contact for Institutions to facilitate better understanding of the implementation approach being implemented by the Institution, and improved and consistent advice on export controls
- www.defence.gov.au/deco/Compliance.asp

Where Can I Find More Information?

- Defence Export Controls:
www.defence.gov.au/DECO/
- Strengthened Export Controls Steering Group:
<https://exportcontrols.govspace.gov.au/>

Questions?