



Export Controls

ASSIST4

Software, consultancy and services for global trade and supply chain management

AEB ■■■■

— Export control solutions for defence and dual-use industries

Are you certain that you are shipping goods with an appropriate export licence? How confident are you that your sales team have F680 clearance in place before commencing negotiations with prospects? Does your export documentation comply with all relevant regulations? Do you have procedures in place to ensure that your export licences pending expiry are reapplied for in a timely manner? Does your organisation have appropriate tools in place to manage technology transfers?

Businesses that unwittingly export goods without the proper licences are not immune to prosecution. And the penalties can be harsh: Violations of UK or European export control regulations can result in hefty fines and even imprisonment. Export authorisations and special privileges already granted may be revoked, and it may be difficult to obtain further export authorisations in the future.

**Be confident. Be secure.
Use ASSIST4 to manage
your export controls**

ASSIST4 secures your logistics processes against risks thus helping you to avoid unintended violations and the potential penalties associated with these.

Fully integrated into your business processes

AEB's solution suite is fully-integrated into standard business processes. Administrators are able to ensure compliance from the initial point of contact with a prospect during the sales phase right through to shipment of goods to the customer. Importantly, all of this information is retained within a single system. The solution provides, therefore, a single point of audit for Customs, the Export Control Organisation and other official bodies demonstrating due diligence and compliance, at all times.



— Licence management: At the heart of export control compliance

A licence is required for the export or transport of goods that are deemed critical and that are shipped to specific countries or if unlisted goods are intended for a particular end use. Licences are not just required when exporting what are obviously “sensitive goods”. Many other goods are subject to licensing requirements. Primary among them are goods that can be used for both civilian and military purposes – known as dual-use goods. Bullet-proof glass, for example, can be used to protect employees but also

equip tanks. Aluminium casings can be used to produce both ammunition cartridges and lipstick tubes.

Licences fully integrated into your export controls processes

Licences used in the export control process – including OGELs, OIELs and SIELs – can be fully managed and administered in ASSIST4. As goods are shipped, complete records of which licence was used to export a particular item are maintained within the system. All relevant validity

periods as well as value and quantity limits are automatically monitored to ensure that the exported goods adhere to the licence conditions. Furthermore, the details of licences used for the shipments can then be transmitted from the system directly to UK Customs via AEB's NES module. The Export Licence Management module enables full record-keeping for export licences including data about their usage in the physical goods shipment process and in technology transfers.

— Not only physical goods controls: Software and technology

Export controls do not apply only to physical merchandise. Sanctions apply to all goods – including software and technology. System descriptions, technical specifications and blueprints need to be checked, since such documents may contain information subject to licensing requirements. A licence may be required merely to make software or technology available online, send it by e-mail to a foreign business partner or bring it (in hard or soft copy) on a business trip abroad. Technology transfers (“intangible exports”) are extremely difficult for any company to keep track of. However, companies that have export licences in place must record technology transfers

which have been undertaken against each of these.

Managing technology transfers

ASSIST4 provides an easy way for companies to manage technology transfers taking place throughout the organisation and can be made available to a large number of people even if they are located at distributed sites. Full details of technology transfer requests (customer/prospect, product, dates, etc.), approvals and usage against a particular licence are maintained within the system thus providing an audit trail for administrators and official bodies. This intranet-based application provides an easy way for you

to manage technology transfers taking place throughout your organisation. Employees are able to submit requests to the export controls administrator(s) to determine whether the activities they are undertaking are covered by existing export licences or MOD clearances. If these already exist, then the administrator(s) is able to advise the employee of the corresponding clearance number via the intranet application. Otherwise, as the administrator(s) is notified of the requirement at an early stage, they can proceed with the application process for a new export licence or MOD clearance.

Key features

Export licence management

- Management of all relevant data for OGELs, OIELs and SIELs
- Export licences can be assigned to shipment items thereby ensuring that the export licence data is automatically displayed on relevant Customs, commercial and other documentation
- SIELs are automatically decremented on value and quantity as they are used in shipments
- Restrictions of export licence usage according to consignees, countries, products, etc.
- Handling of temporary licences (due/actual date of returns, etc.)
- Integrated archive for revision-secure storage of export licence documents
- Handling of additional licence types such as trade control licences
- Administrator-configurable warnings that notify system users of upcoming licence expiries and depletions
- Recording of consignee and end-use undertaking data

Technology transfers management

- The application features a series of fields via which the user can clearly specify the activity they are undertaking (e.g. customer/prospect, product, dates, etc.)
- The solution is intranet-based and therefore can be made available to a large number of people even if they are located at distributed sites throughout your organisation
- All requests for clearance are centrally recorded in the system thus providing an audit trail for administrators and official bodies such as the Export Control Organisation
- Status codes giving users and administrators clear indications of the status of each request
- Usage levels can be used to determine export controls training requirements
- Administrators can identify requirements for export licences and/or MOD clearances at an early stage, thus ensuring that their applications are made at the earliest opportunity

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