



Application To Export Controlled Goods and Technology

INFORMATION ABOUT THE APPLICATION TO EXPORT CONTROLLED GOODS AND TECHNOLOGY

This form should be completed if you are seeking

- an approval to export goods or supply technology,
- to renew an existing approval,
- advice on the control status of goods or technology, or
- an in-principle approval assessment.

This application will be subject to an assessment against the following legislation:

- Regulation 13E of the *Customs (Prohibited Exports) Regulations 1958*
- *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995* (WMD Act)
- *Defence Trade Controls Act 2012*
- Section 112BA of the *Customs Act 1901*

You should familiarise yourself with the United Nations and Australian Government's implementation of sanctions against certain countries and entities. Information is available on the Department of Foreign Affairs and Trade website at www.dfat.gov.au/un/unsc_sanctions.

Prior to submitting your application you should ensure you have completed each of the questions and that all of the required supporting documentation is attached. An incomplete application may result in a delay of the assessment.

COLLECTION, USE AND DISCLOSURE OF PERSONAL INFORMATION

The personal information you provide in this application form is being collected by the Department of Defence for the purpose of administering export control legislation including the *Customs Act 1901*, the *Defence Trade Controls Act 2012* and the *Weapons of Mass Destruction (Prevention of Proliferation) Act 1995*.

The information you provide will be used to assess your application. Defence may also use the information when undertaking other export control functions including compliance activities, and to contact you with information regarding export controls. Defence may provide some or all of the information to other Australian Government agencies involved in the administration of export control legislation including the Australian Customs and Border Protection Service, the Department of Foreign Affairs and Trade, the Department of Industry, law enforcement and intelligence agencies. In some circumstances, Defence may be required to provide some of this information to Australia's international regime partners in order to fulfil Australia's reporting and consultation responsibilities. Defence will not disclose your personal information beyond these circumstances unless authorised to do so by law.

The Department of Defence has a Defence Privacy Policy. The Defence Privacy Policy contains information on how an individual may apply for access to their personal information and how an individual may apply to have their personal information amended. The Defence Privacy Policy also contains information for individuals on how to make a privacy complaint to Defence if they consider Defence may have breached the Australian Privacy Principles. A copy of the Defence Privacy Policy can be found at www.defence.gov.au. For more information, the Defence Privacy Officer can be contacted by email at defence.privacy@defence.gov.au.

If you require further assistance please contact DECO by telephone on 1800 66 10 66 or by email at deco@defence.gov.au.



Australian Government

Department of Defence
Defence Export Control Office

APPLICATION TO EXPORT CONTROLLED GOODS AND TECHNOLOGY

1. Applicant Details

Your applicant name and DECS Client Registration Number (DCRN) details will be matched against our client records. Your client record details will appear on approvals and other correspondence produced by DECO.

To enable DECO to seek further information during the assessment process, you must include details of a nominated contact person. This person should be able to discuss the technical attributes of the items or technology, and other details of the application. It does not have to be the same person who is completing the application.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

1.1 DECS Client Registration Number (DCRN) *

1.2 Name of Applicant (Company or Individual) *

1.3 Contact Person - First Name *

1.4 Contact Person - Last Name *

1.5 Contact Person - Phone *

1.6 Contact Person - Email *

1.7 Do you have an internal reference number for this application? *

- No
 Yes, please enter your internal reference number

1.8 Are you exporting goods or technology on behalf of someone else? *

- No, go to section 3
 Yes, go to section 2

2. Goods or Technology Owner

In some circumstances, exports are undertaken by someone on behalf of the person who owns the goods. If you are not the owner of the goods or technology, we require you to give us information about who owns the items being exported.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

2.1 Company Name (or Individual name if not Company)

2.2 Does the goods or technology owner have a DECS Client Registration Number (DCRN)?

- No
 Yes, please enter it

2.3 What is the ABN of the owner?

2.4 What is the CCID of the owner?

2.5 Owner Contact - First Name

2.6 Owner Contact - Last Name

2.7 Owner Contact - Phone

2.8 Owner Contact - Fax

2.9 Owner Contact - Email

2.10 Owner Contact - Position or Title

2.11 Owner Contact - Website

2.12 Physical Address - Number and Street Name

2.13 Physical Address - Suburb/Town

2.14 Physical Address - State

2.15 Physical Address - Postcode

2.16 Physical Address - Country

2.17 Is the mailing address different from the above listed address?

- No, go to section 3
 Yes, complete the following 'Mailing Address' fields

2.18 Mailing Address - Number and Street Name

2.19 Mailing Address - Suburb/Town

2.20 Mailing Address - State

2.21 Mailing Address - Post Code

2.22 Mailing Address - Country

3. Application Purpose

You should select the description that best describes why you are submitting this application. As the assessment of your application will consider all of the relevant export control legislation, it is important that you provide as much information as possible.

You should tell us of any previous correspondence you have had with us regarding this activity. If we have issued you with an approval or reference number in our correspondence you should quote this number.

You should tell us if your application will involve the export or supply of items to a sanctioned destination or entity. We consult with the Department of Foreign Affairs and Trade on cases that are controlled by sanctions legislation.

An *export control assessment of goods and technology* is not an approval to export or supply goods and technology. If you select this option, you will receive an Export Control Assessment letter with advice on whether the items are subject to export control legislation. If you believe your items are controlled and you intend on exporting or supplying them you will need to select the option, *Apply for a new permission*.

If this application is to *renew a permission, export control assessment or in-principle approval assessment*, you do not need to complete Sections 4-12 if there are no changes to the list of Goods or Technology, the Consignees or End Users / Recipients, and the permission was issued on the Defence Export Control System (DECS) after 1 May 2013. If any of these details need to be updated in the renewal, you must complete all the questions in the application.

3.1 What is the purpose of this application? Do you want to: *

- Apply for a new permission
 Apply for an export control assessment of goods or technology
 Seek an in-principle approval assessment
 Apply to export or supply items that have previously been granted in-principle approval assessment
 Renew a permission, export control assessment or in-principle approval assessment

3.2 If are you seeking an in-principle approval assessment, why do you require the assessment, eg responding to a tender or seeking marketing opportunities? (Max 1,000 Characters)

3.3 If you are renewing a permission or assessment, provide the DECO reference or permission number.

3.4 Do you believe or suspect the goods, technology or any services to be exported or supplied may be used in a weapons of mass destruction program? *

- No
 Yes, provide reasons why you believe or suspect this (Max 2,000 Characters)

3.5 Are the goods or technology to be exported, or supplied, to a country or entity subject to United Nations or Australian Autonomous Sanctions? *

- No
 Yes, provide details including the country and/or entities involved (Max 2,000 Characters)

4. Export or Supply of Goods and Technology

Export permits are required when controlled goods or technology are transhipped through Australia. Transhipment occurs when items are brought to Australia on a ship or aircraft, and the items are transferred to another ship or aircraft which departs Australia for the subsequent destination.

You must answer questions 4.2, 4.3 and 4.4 if the items will be subsequently returning to Australia (temporary export) whether in their original, or in a modified, state. Certain temporary exports have additional conditions placed on an approval.

Certain technologies, including software, relating to controlled items require export approval. If you will be providing further software releases or patches, these may be controlled. You must tell us about these so we can assess if you will require approval. In the details, you should explain the function of this software or firmware, including if it will provide an additional capability or if it incorporates encryption.

Information on the factors that we consider when assessing if items may have a 'military end-use' are listed in the Frequently Asked Questions of our website.

4.1 Select the option which best describes why the goods or technology will be exported or supplied *

- For use by the consignee or end user
 To be on-sold by a distributor or retailer
 Temporary basis - demonstration or exhibit
 Temporary basis - use in a shooting competition or recreational activity
 Being returned to the Original Equipment Manufacturer or their agent (includes for repair, at the expiration of the original equipment, or the expiration of a foreign Government temporary export licence)
 Expiration of a foreign Government temporary export licence
 Being returned to the owner after repair, modification, demonstration or exhibition in Australia
 For use in a global supply chain
 For integration into a larger assembly and subsequent return to Australia
 For tender evaluation or testing
 Academic research or collaboration
 Transhipment of controlled items through Australia
 Other, provide further details (Max 1,000 Characters)

4.2 For temporary exports, will a party other than the applicant have control of the goods?

- No
 Yes, provide further details (Max 1,000 Characters)

4.3 For temporary exports, do you have evidence of your intention to demonstrate the goods or technology?

- No
 Yes, provide/attach further details and evidence

4.4 For temporary exports, what is the expected date of return?

4.5 Is the export an upgrade to a system previously exported from Australia? *

- No
 Yes, provide further details of the export including the permission or DECO reference number (Max 255 Characters)

4.6 Will you be exporting or supplying future software or firmware releases? *

- No
 Yes, provide further details (Max 1,000 Characters)

4.7 Are the goods or technology specially designed for military use? *

- No
 Yes, provide further details and special features (Max 1,000 Characters)

4.8 Are the goods or technology specially designed for medical end-use? *

- No
 Yes, provide further details (Max 1,000 Characters)

5. Export Details

The questions in this section must be answered if this application is for a permission to physically export goods or technology from Australia. Typically items are exported by ship or aircraft, sent by post or courier, as checked-in or hand-held luggage. It includes technology in a medium such as CD, DVD, USB, computer hard drive, paper, diagrams or notes.

You need to tell us if the export will be a one-off shipment, or you require an approval for multiple shipments so we can determine the validity period for an approval.

5.1 What is the expected date of export?

5.2 Will there be more than one shipment?

- No
 Yes

5.3 Over what period of time do you plan to export the listed goods or technology

5.4 How will the goods or technology be exported?

- Air Cargo
- Carried by a person (e.g. checked-in or hand carried luggage, documents, CD, laptop or USB)
- Post
- Sea Cargo
- Other (provide further details (Max 1,000 Characters))

6. Supply of Technology via Intangible Means

The questions in this section must be answered if this application is for a permit to supply technology via an intangible means, such as email or fax. Researchers and academics who are supplying technology to a person located overseas must complete this section.

You need to tell us if the supply will occur once, or if you require an approval for multiple supplies so we can determine the appropriate validity period for an approval.

6.1 Is the technology relating to a controlled good that was previously granted export approval?

- No
- Yes, provide details of the export including the permission or DECO reference number (Max 1,000 Characters)

6.2 Is the technology for a software or firmware upgrade to a previously exported good or technology?

- No
- Yes, provide details as to what changes have occurred (Max 1,000 Characters)

6.3 What is the expected date of supply?

6.4 Over what period of time will the supply occur?

6.5 How will the technology be supplied?

- Email
- Fax
- Made available for download from website owned by applicant
- Made available for download via site not owned by applicant
- Made available for download from a secure or restricted access server or cloud facility
- Other, please specify (Max 1,000 Characters)

7. Details of Goods or Technology

In this section you must list all the goods and technology that are to be assessed. Use the "Add Goods or Technology" button for each new line item. For each line item you must indicate in Q7.8 whether it will be exported or supplied as approvals are issued under two separate pieces of legislation.

Describing your goods or technology

- In this section you must separately list each item that is to be exported or supplied.
- When entering the items, you should enter the information as you want it to appear in the approval.
- For **physical goods**, the information should be comprehensive enough that a person can compare the approval against other commercial documentation and, if required by law or enforcement officers, the information can be matched against the physical goods.
- Where applicable you must include details of the manufacturer, make, model, serial number, NATO Stock Number, quantity, unit of measure and value. If these details are not provided, the assessment may be delayed.
- For **technology** the information should accurately describe the actual technology that is being supplied in as much detail as possible.
- You should avoid the use of initials, acronyms or abbreviations.
- Where additional information, such as brochures or technical specification, explains the design features or capabilities of the items, these should be submitted as attachments to the application.

Listing Military Equipment

- If the items are parts, components or sub-assemblies of a larger military system, describe the top level system or higher level platform that they are fitted to or used in, eg i.e. "Parts and components for a specified super fast military aircraft, model type AB"
- If you require a full list of parts and components to be shown on the export permit you should attach a completed [Bulk upload file for an Application to Export Controlled Goods and Technology](#) to your application instead of entering the items directly into the application form.

Exporting Firearms

- The description of every firearm must include the Type, Model, Calibre and Action
- Applications must be accompanied by documentation demonstrating the ownership of the firearms and/or ammunition. For example, a firearms dealers licence, individual firearms registration and licences.
- If the owner is NOT the applicant (i.e. an agent), written authority is required from the owner to export the firearm and / or ammunition, as well as the owner's proof of ownership and a firearm licence.
- If the firearms or ammunition are to be exported to a foreign government, a completed DEC04 End-User and Non-Transfer Certificate must be submitted.
- If the firearms or ammunition are to be exported to private individuals overseas, an import permission, issued by the foreign government, or a completed DEC09 Firearm / Ammunition End-User Certificate should be submitted to verify the end-users.

7.1 Manufacturer	7.2 Serial Number (if applicable)	7.3 NATO Stock Number (if applicable)
<input type="text"/>	<input type="text"/>	<input type="text"/>
7.4 Quantity	7.5 Unit of Measure	7.6 Value (AUD) or Added Value
<input type="text"/>	<input type="text"/>	<input type="text"/>
7.7 Full Description of the Goods or Technology (Max 1,000 Characters) Note: For Firearms include Type, Model, Calibre and Action or For Chemicals include Chemical Name, CAS Number, Composition and Concentration.		
<input type="text"/>		
7.8 Will this item be *		
<input type="radio"/> Exported		
<input type="radio"/> Supplied by intangible means		

Add Goods or Technology

8. Consignee Details

A "consignee" is usually a third party, or an intermediary, who is part of the supply chain for the export of goods, or they could be the end user of the goods. A "consignee" is less likely to be involved in the supply of technology.

If you are exporting the goods for your own use overseas, or will retain control of goods exported temporarily, your name and overseas contact details must be provided in this section.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

8.1 Name *	8.2 Number and Street Name	8.3 Suburb/Town	8.4 State
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
8.5 Postcode	8.6 Country *	8.7 Contact - Name	8.8 Contact - Phone
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
8.9 Contact - Fax	8.10 Contact - Email	8.11 Contact - Website	8.12 Contact - Position or Title
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Add Consignee

9. End-User/Recipient Details

The End-User/Recipient will be the persons, companies or research/tertiary institutions that will receive and/or use the goods and technology. In most cases, the End-User / Recipient will be located overseas at the time the export or supply occurs.

For items being sent overseas for repair, maintenance or testing, the End-User will usually be the name of the Australian owner of the goods or the entity the goods will be returned to.

If the End-User/Recipient is a large organisation, government agency or institution, you should identify the department or section within the larger entity, eg "School of Engineering, Knoxside University". If the names of the End-Users are unknown, such as when items are sent to a distributor, then enter "Unknown" in the Name field. If you will use the goods overseas, include your details.

Post Office boxes are not acceptable.

International phone numbers should be entered with a "+", then the International Direct Dialing Prefix (eg 0011), then the Country Code, followed by the phone, fax or mobile number, eg +001118884074747

9.1 Name *	9.2 Number and Street Name	9.3 Suburb/Town	9.4 State
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
9.5 Postcode	9.6 Country *	9.7 Contact - Name	9.8 Contact - Phone
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
9.9 Contact - Fax	9.10 Contact - Email	9.11 Contact - Website	9.12 Contact - Position or Title
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Add End-User

10. Consignee/End-User/Recipient Questions

To conduct our assessment of your application, we need to understand what you know about the parties who will be receiving the goods and technology, and how they intend to use them.

If your application includes the export of goods or technology, you should submit an applicable End-Use Certificate, Statement by Ultimate Consignee or Purchaser, Import Permission issued by the foreign government, Work Order, Repair Order or Purchase Order.

We consider 'for military purposes' to be "if the goods are or may be for use in operations, exercises or other activities conducted by an armed force or an armed group, whether or not the armed force or armed group forms part of the armed forces of the government of a foreign country".

10.1 Is the consignee/end-user/recipient in an associated/related industry to you?

- No
 Yes, provide further details (Max 1,000 Characters)

10.2 Have you exported or supplied goods or technology to the consignee/end-user/recipient previously?

- No
 Yes, provide further details including over what period of time (Max 1,000 Characters)

10.3 Will the goods or technology be used for military purposes?

- No
 Yes, provide further details (Max 1,000 Characters)

10.4 How will the end-user/recipient utilise these items and/or technology? (Max 1,000 Characters)

10.5 Do you have evidence from the end-user/recipient verifying how they will use the goods or technology, or the purpose for which they are receiving the goods or technology?

- No
 Yes, you must attach evidence with your application

11. Third Party/Foreign Government Approvals

Some countries have strict requirements on the re-export of goods they permit to be exported. One example is the United States of America. Prior to submitting your application, you should check with your supplier to confirm whether your items are subject to any requirement to obtain approval for re-export of the items.

If approval is required, you should submit evidence of that Third Country clearance. These may include documents such as a:

- Technical Assistance Agreement (TAA)
- Manufacturing Licence Agreement (MLA)
- Foreign Military Sale documentation
- DSP-5
- Government approval letter
- Warehouse and Distribution Licence, or
- Foreign export licence.

11.1 Are the goods or technology, including any embedded technology, data or equipment, subject to re-export controls by a foreign government, such as the United States International Traffic in Arms Regulations (ITAR) or the United States Export Administration Regulations (EAR)?

Note: Third Party clearances must be attached to this application *

- No
 Yes, specify the country

11.2 Were the goods or technology previously subject to the Australian-US Defense Trade Cooperation Treaty? *

- No
 Yes, what is the Approved Community Identification (ACID) number for this facility?

12. Activity Related to Australian Government Business

You must tell us if the goods or technology are owned, or were supplied to you, by the Australian Government. The provision of Government contact details will allow us to determine if approval is required from another part of the Australian Government before we can finalise our assessment.

12.1 Is the export or supply of the goods and technology related to Australian Government business? *

- No
 Yes, complete the fields with 'Government Representative'

13. Further Information

If there is any further information that you believe we should know about in assessing your application, and we have not asked you about it, you should provide those details here. If there is insufficient space you can include those details as an attachment to your application.

13.1 Do you wish to provide additional information in support of your application? *

- No
 Yes, provide further details or provide as an attachment to the application (Max 2,000 Characters)

14. Statement by Applicant

ACKNOWLEDGE

In applying to the Department of Defence, you consent that the information provided in this application may be provided to other Australian Government agencies.

Any person who makes a false or misleading statement in an application may be prosecuted for an offence under Section 136.1 of the *Criminal Code Act 1995*. If found guilty, penalties (including imprisonment) may be imposed by the court.

STATEMENT BY APPLICANT

I certify that the information in this application is true and correct.

I will promptly notify the Defence Export Control Office of any changes relating to the information provided in this application.

14.1 First Name *

14.2 Last Name *

14.3 Position/Title *

14.4 Email *

14.5 Contact Phone Number *

14.6 Date (Auto-completed on submission)

Submit