



Australian Government
Defence



DEFENCE EXPORT CONTROLS

Compliance

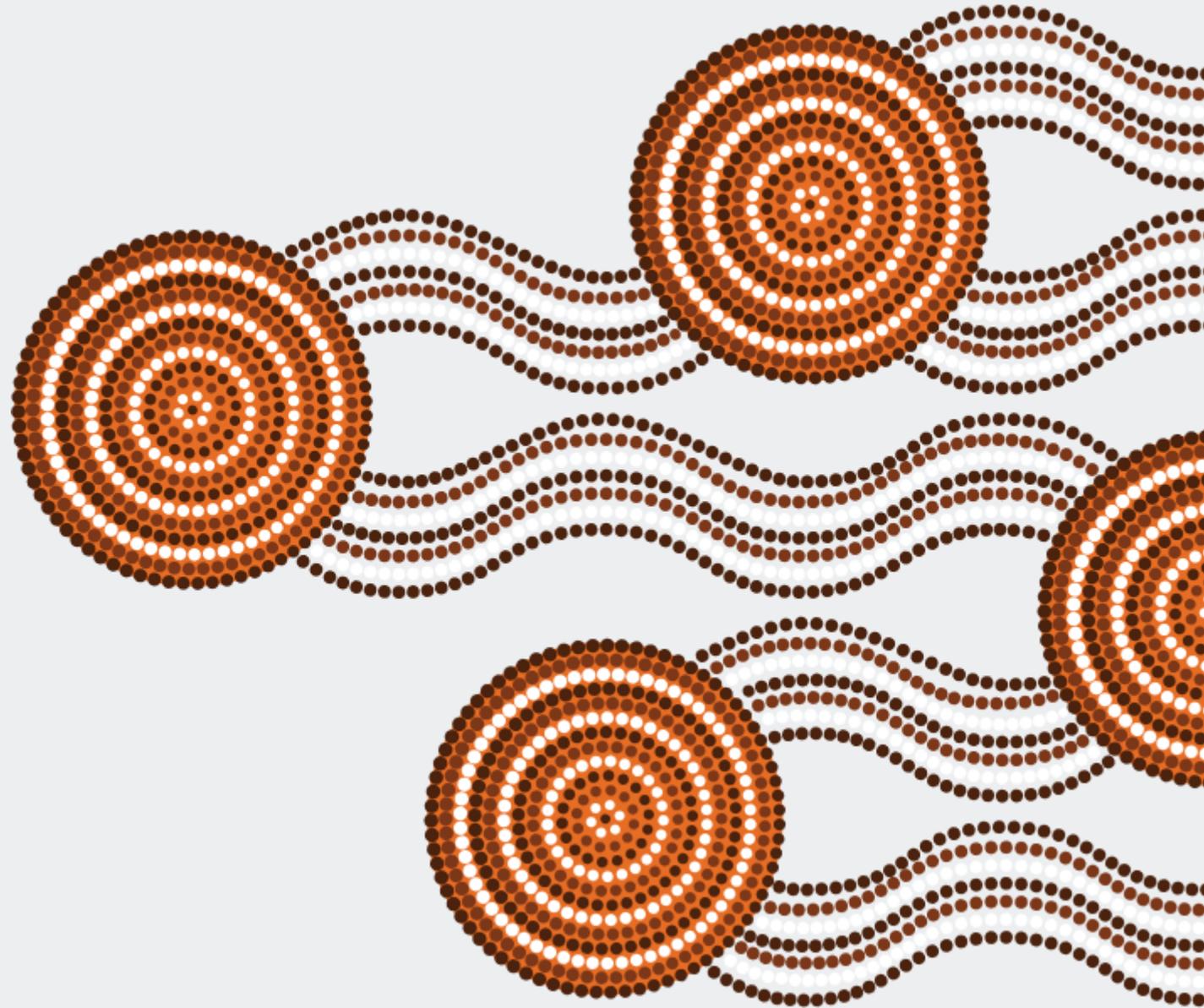
Ian D'Souza

Director, Regulatory Compliance

Acknowledgement of Country

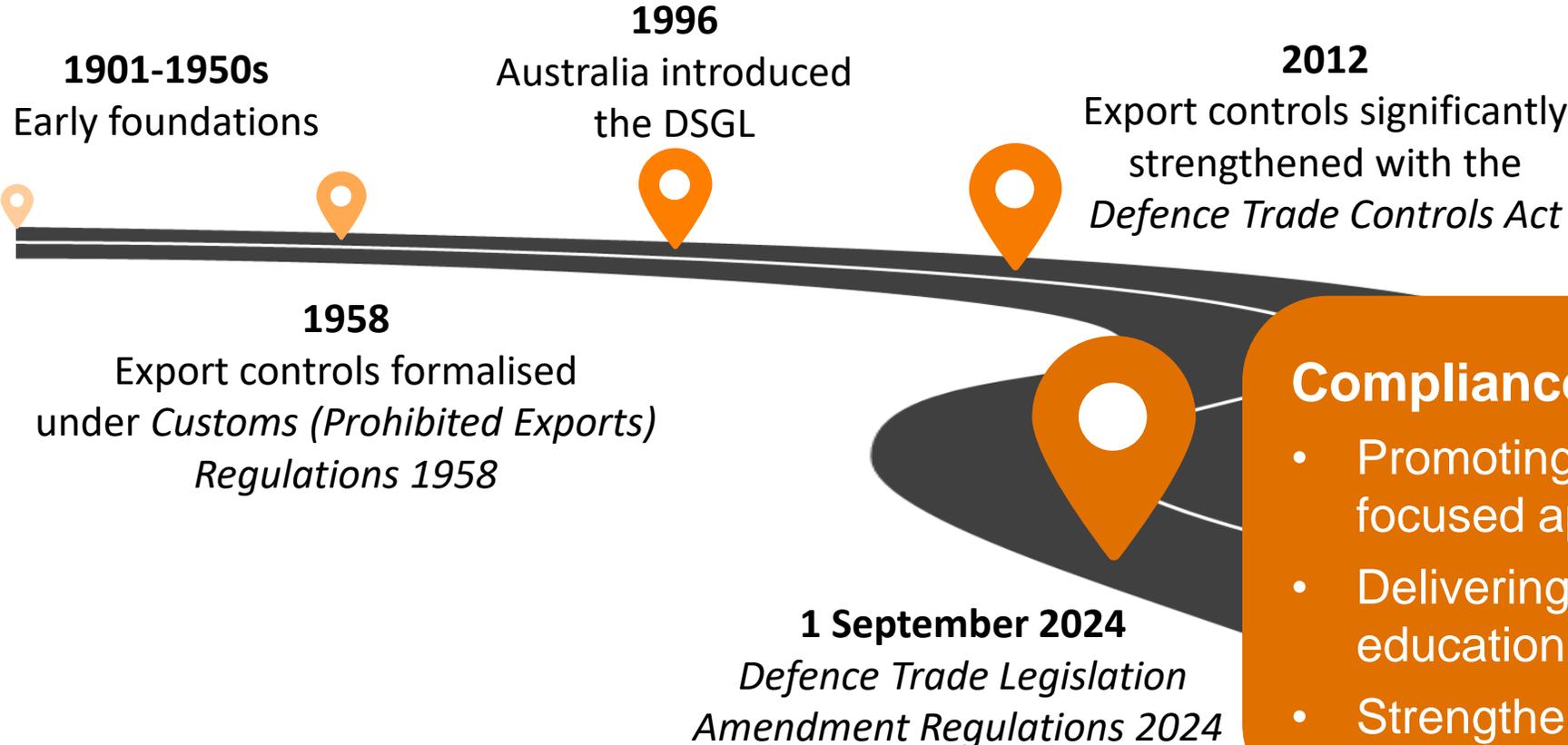
I would like to acknowledge the Traditional Custodians of the land on which we meet today, and pay my respects to their Elders both past and present.

I would also like to pay my respects to the Aboriginal and Torres Strait Islander men and women who have contributed to the defence of Australia in times of peace and war.



Compliance: the core of Export Controls

Building modern, partnership driven export controls capability and delivering tailored support



Compliance Monitoring Program

- Promoting a preventive, self-help-focused approach
- Delivering targeted outreach and education
- Strengthen regulatory maturity

Investigation Case Study – Non-Compliance

Entity: **Defence Industry Company**

A Voluntary Disclosure was made by an Australian company that reported that they had undertaken a remote demonstration of their goods including technical data transfer of an item listed on the DSGL, where a permit was not granted.

- **Applicable Legislation:** Section 10 of *Defence Trade Controls Act 2012* (supply of DSGL technology cross-border without a permit)
- **Findings:** The demonstration of goods which were subject to an in-force permit, was delivered via MS Teams to representatives of a foreign country.
- **Outcome:** DEC Warning Letter issued



Compliance Monitoring Program

- **Self Assessment**

- Entities can undertake the self assessment in your own time
- It will assist you to identify gaps in internal compliance
- Provide improvements to your internal processes
- DEC *may* request entities to undertake a Self Assessment

- **Desktop**

- The desktop approach provides an increased understanding of your compliance
- DEC *may* request entities to undertake a desktop compliance monitoring activity

- **On site activities**

- Deep dives on site inspection (in person audit)
- A targeted approach by DEC
- DEC *may* involve entities that export high risk goods/tech or have a particular permit types



Practical steps to assist and improve your compliance

Product delivery

- ✓ Know what you're handling
- ✓ Know where your goods are going
- ✓ Know who you are dealing with
- ✓ Apply for a permit early

Systems and staff

- ✓ Build a culture of compliance and reporting
- ✓ Implement strong compliance systems
- ✓ Maintain strong record-keeping practices
- ✓ Train staff regularly

Stay informed and engaged

- ✓ Stay up-to-date with legislation, policy and international controls
- ✓ Regularly engage with DEC



Where to get help and assistance

Website: www.defence.gov.au/business-industry/exporting

MADE AI: an AI Knowledge Assistant self help tool available 24 hours a day

Webinars: monthly educational webinars

DEC Bulletin: receive our monthly newsletter to stay informed and up-to-date

eLearning: e-learning package about Defence export controls

Helpdesk: Call 1800 333 362 (1800 DEFENCE) between 8.30-16.30 AEST



Thank you

