

Compliance – Best Practice

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Limited

Topics

- Implementation of processes
- Demonstration to Government inspection
- Record Keeping for audit
- Conducting an Internal Assessment
- Remedial Measures
- Training

Implementation

- Commitment from leadership, time and Resource
- Communicate compliance throughout the business
- Knowledge & Awareness of regulations
- Respect & Recognition
 - For the compliance team
 - Added value to the Company
- Include all relevant departments
- Business appropriate training

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Demonstration

- Compliance Audit by ECJU
- Implement an Internal Compliance Plan to include as minimum
 - Goods Classification
 - Types of Licence
 - Licence Conditions
 - Compliance points of contact
 - Internal disclosure procedure
- Test your procedures
- Good quality information on Export paperwork

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ECJU - Record Keeping

- Original Undertakings
 - Validate the accepted period of the undertaking
- Evidence of Export
 - SAD documentation, Commercial Invoice annotation
- Supporting documents, DESP letter, F 680
- Returns through SPIRE

Penalties of Non Compliance at audit

- Warning letter issued with an outline of action points
- Follow up audit within six months of non-compliance
- Fines and penalties associated with serious violations of non-compliance
- Revocation of the ability to utilise open licences

Opportunities and value of Compliance



- Enjoy the privileges associated with Open Licences
 - Immediate use and speed to market
 - Competitive edge when moving into new business areas
 - Demonstration to regulators, suppliers and customers of your company commitment to compliance
 - Additional resource of an allocated Compliance Officer

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Internal Assessments

- Conduct regular assessments
 - Business related intervals
- Methodology
 - Site based
 - Survey
 - Random select of export entries for review
- Make changes if necessary

Remedial Measures

- How to report non compliance, if necessary
 - Empower all employees to report non compliance
 - Retain a documented process to confirm outcome to all stakeholders
- Have a process to document any internal amendments if necessary,
 - eg licence changes
 - Re-training

Training

- On line
- Face to face
- Outside trainers
- Induction
- Intranet
- Refresher
- Interesting & interactive
- Roster and record attendance

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Useful Links

DIT Compliance Code of Practice

<https://www.gov.uk/government/publications/compliance-code-of-practice>

Notice to Exporters

<https://www.gov.uk/government/collections/notices-to-exporters>

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Summary

- Compliance is valued added to business – invest time and resource to make it happen
- Recognise and appreciate trade Compliance
- Non compliance may serious affect business strategy
- Empower everyone to have the awareness of trade controls and speak up if believe non-compliant

Any Questions



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