The electronic
International Import and Export Authorization System
for narcotic drugs and psychotropic substances

User Manual
I2ES User Manual

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In cooperation with: UNODC ITS

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Foreword

I2ES is a new online platform developed by INCB with the support of UNODC to facilitate and speed up the process of issuing import and export authorizations for narcotic drugs and psychotropic substances by competent national authorities (CNAs) of importing and exporting countries in compliance with the international drug control treaties. I2ES will allow CNAs to verify the authenticity of such authorizations and to issue endorsements of export authorizations in a secure way and in real time.

I2ES now allows information exchange on applications by companies for and issuance by CNAs of import and export authorizations for narcotic drugs and psychotropic substances, as well as electronic generation of import and export authorizations in paper form.
## 1 Getting Started

### 1.1 Registration with I2ES

A competent national authority (CNA) must register before being able to use the web interface. Each country’s CNA has only one administrator account. For more information on User registration (refer to 2.3.2 Registration of a New User)

1. Click on the **Register** tab in the I2ES home page [https://i2es.incb.org/](https://i2es.incb.org/).
2. Complete the online form and then click **Submit**.
3. A confirmation message appears that your request has been sent for approval.

The administrator will either activate the account or reject your request.

Once accepted, you will be assigned a user name and password, which you can use on your next login.

### 1.2 Login to I2ES

1. Enter your **Username** and **Password**.
2. Before you click on the Login button, type the **Captcha** (sum of digits that appears on the screen in this case) into the box without making any errors.

---

**User login**

All fields marked (*) are mandatory

![User Login Form](https://i2es.incb.org/

**Figure 1**

**Note:** *All the fields marked by * are mandatory*
1.3 **Password Recovery**

You can recover your previously set password if you happen to forget your password.

1. Click on the “Forgot your password” link
2. It opens a Password recovery window

**Password recovery**

All fields marked (*) are mandatory

![Password recovery form](image)

**Figure 2**

3. Enter the User name and the Captcha and click on Next
4. Enter the Password answer in the Password recovery window and click on Submit
5. The Password will be emailed to the user.

*Note: The Password answer should match the User name password answer*
### Password recovery

All fields marked (*) are mandatory

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>User name</td>
<td>swi_waitzng</td>
</tr>
<tr>
<td>Password question</td>
<td>uncodc</td>
</tr>
<tr>
<td>Password answer (*)</td>
<td></td>
</tr>
<tr>
<td>How much is? (*)</td>
<td>51 + 8 = ?</td>
</tr>
</tbody>
</table>

![Submit and Cancel buttons]

Figure 3

**Note**: The username of the logged-in user appears on the main menu below the header and you can log out of the system by clicking on it.
Welcome to the electronic International Import and Export Authorization System (I2ES) for narcotic drugs and psychotropic substances

I2ES is a new online platform developed by INCB with the support of UNODC to facilitate and speed up the process of issuing import and export authorizations for narcotic drugs and psychotropic substances by competent national authorities (CNAs) of importing and exporting countries in compliance with the international drug control treaties. I2ES will allow CNAs to verify the authenticity of such authorizations and to issue endorsements of export authorizations in a secure way and in real time.

In its initial phase, I2ES will allow information exchange on applications by companies for, and issuance by CNAs of, import and export authorizations for narcotic drugs and psychotropic substances, as well as electronic generation of import and export authorizations in paper form.

Figure 4
2 Administration

The Administration menu consists of Masters, Users Management and Country Settings.

![Image of the Administration menu]

2.1 Masters

The Masters sub-menu under Administration is available to all the users belonging to a specific country. Under this tab both the CNA administrator and CNA user can create new establishments (i.e., importers, exporters, bonded warehouses) and preparations, and edit existing ones. Typical examples of pre-defined selections are Establishments, Preparations, Substances, Ports and Estimates/Assessments. In order to keep these selections up-to-date, I2ES administrators can change these options available to the user as required. For this purpose, the Masters module is provided.

2.2 Establishments

Before an authority can start using I2ES, it has to set up its national definitions for establishments (i.e. importing and exporting companies within its own country, as well as foreign companies with which the national companies wish to trade with)

1. Click on the + icon to open a Create establishment form.
2. Enter all the mandatory fields on this form (Country, Establishment type, Establishment name, Street and City). These are indicated by an *.

3. Click on the **Create** button once all the fields have been entered.
4. A new **Establishment** is added to the List of importers/exporters/bonded warehouses.
5. To update an existing Establishment, click on the icon to open up the **Edit Establishment** form.

6. Edit the information as required and click on the **Update** button.

### 2.2.1 Preparations

Here, all the preparations are defined, which the national companies wish to trade in. The controlled substances are contained in a preparation. The list of substances contains all narcotic drugs and psychotropic substances under international control, including esters, ethers and salts.

1. Click on the icon to open a **Create preparation** form.

2. Enter all the mandatory fields, namely, **Preparation name**, **Pharmaceutical form**, **Package type**, **Preparation contents** and **Preparation package size** (i.e., number of preparation units per package).
Figure 11

3. Click on the + icon to expand the **Description** and **quantity of item** form and enter the details.

![Figure 12](image)

Figure 12

4. Click on the + icon to expand the **Preparation package size** form and enter the details.

![Figure 13](image)

Figure 13

5. Click on the **Add** button.

6. A new Preparation is added on the **Preparations List**.

7. To update an existing preparation, click on the **Edit preparation** icon to open up the **Edit preparation** form.

8. Edit the information as required and click on the **Update** button.

**Note:** It is possible to change preparation name so long as the base substance remains the same.

### 2.2.2 Substances List

The list displays all the substances registered in the system, it includes all narcotic drugs and psychotropic substances currently under international control, including all controlled esters, ethers and salts. The substances are displayed
under the following column-headers: **IDS Code, Base/ester/ether/salt, CAS Number, Schedule, Approximate pure anhydrous drug content (in %)** and **Substance type**. It is a read-only form.

1. Click on the **X** icon to export the Substances List to Excel.

2. You can filter the data on the column by clicking on the **Y** icon.

3. In the pop-up which opens up, enter the “value” of the items you would like to be displayed in that column, and click on Filter (e.g filter the item “2-CB” in the Base/ester/ether/salt column)
columns: **Year of estimates/assessments, Country, IDS code, Substance name, Quantity** and **UOM.**

![Figure 16](image)

**2.3 User Management**

The User Management menu consists of **Users List and Change Password.**

**2.3.1 Users List**

All current users are listed in the grid under List of users. Columns in the grid indicate **Status, User name, First name, Last name, Organization** and the **Last login date.**

![Figure 17](image)

**2.3.2 Registration of a New User**

The initial request from a country for a user account should always be for the function of the “administrator”, i.e. the person with all the I2ES privileges and responsible for managing all other users of his or her country. The request will be routed to the INCB Secretariat for approval.

To ensure security, the INCB Secretariat will first verify the authenticity of the request for “administrator” with the Government concerned through official channels. Once approved, the administrator will receive password from I2ES.

Once the administrator has been given their account, new requests of other users of the same country will be automatically routed to the administrator. The administrator will grant or reject new requests. It is up to the discretion of the administrator to assign the “manager” status or the “normal” user status to the new users. While a manager is allowed to authorize import or export
authorizations, users may only view and draft authorizations. The administrator will also be responsible for terminating managers and users when necessary.

**Note:** The User Name automatically gets the prefix of the first 3 letters of the English name of the country the user is from (for example swi_gruber).

### 2.3.3 Edit User

A CNA administrator can also edit the user account by clicking on the / (edit/view icon) in the right-most column of the grid. On the **Edit User** account form, make all the necessary changes. Click on **Update** to save the changes.

### 2.3.4 Change Password

You can change your password if you wish to do so under User Management by entering the current password and confirming the new password.

![Change password form](image)

**Figure 18**

### 2.4 Country Settings

The CNA administrator is able to set a default validity period for import/export authorizations of their specific country. The CNA administrator can also define the number of printed copies required for import and export authorizations of their country.

**Authorization validity (month)** – The validity of the authorization period is defined by selecting a value in the Authorization Validity field (the value must range from 1-120).

**Number of import authorization copies** – Select a value for the number of import authorization copies required (the value must range from 1-20).

**Number of export authorization copies** - Select a value for the number of export authorization copies required (the value must range from 1-20).

**Show Notes in authorization** – Select the check-box if you want to display the Notes in the authorization.
**Country settings**

All fields marked (*) are mandatory.

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorisation validity (month)</td>
<td>3</td>
</tr>
<tr>
<td>Number of import authorization copies</td>
<td>1</td>
</tr>
<tr>
<td>Number of export authorization copies</td>
<td>1</td>
</tr>
<tr>
<td>Show notes in authorization</td>
<td>✔</td>
</tr>
</tbody>
</table>

**Figure 19**

**Note**: The "Notes" is standard text which the Commission on Narcotic Drugs decided that should be reproduced at the back of import and export authorizations issued for imports and exports of substances listed in Schedules I and II of the 1971 Convention on Psychotropic Substances.
3 Grid Properties

There are a few grid properties that are common to all the screens in I2ES.

3.1 Navigation

1. Navigating between screens can be done by using the menu options.

2. Navigating between records can be done by clicking on the respective buttons attached at the bottom of that specific screen.

3. You can click on the respective page numbers to go from one page to the other.

<p>| | | | | | | | | | | | |</p>
<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Go to the first page</td>
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<tr>
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<td>Go to the previous record</td>
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<tr>
<td></td>
<td>Go to the next record</td>
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<td></td>
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</tr>
<tr>
<td></td>
<td>Go to the last record</td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3.2 Dynamic Filtering

Dynamic Filtering allows you to view only filtered data in the grids. Filtering the data is possible for all the columns in the Master(s) grids.

1. Click on the filter icon (right-hand corner) on the column-header to select the conditions for filter.

2. A Filter Builder window opens up.

3. Enter the Filter Rule as per requirement. After all the filters have been added, click on Filter to apply it for that specific column.

4. Data is filtered as per the rule applied.

5. To apply a new filter rule, clear the previous filter rule by clicking on the Clear button.

In the below example, to retrieve data only for the User Country “Switzerland”: the filter is applied as shown (see Figure 13). The User Country column in the Establishments List grid only displays records for Switzerland. The filter icon in that specific column in the grid is highlighted if the filter has been applied for that column.
3.3 Expand/Collapse arrow in grids

The entire grid can be expanded or collapsed by clicking on this arrow 
. Individual rows can also be expanded and collapsed by clicking on the arrow in each row.

3.4 Advanced Data Filtering

This feature allows you to filter authorizations/endorsements by authorization number, type, status, counterpart country, base substance and date of application, issuance and expiration.

1. Click on the Filter icon to open the Filter options window.
2. Select all the filter criteria, which you want to apply for your grid.
3. Click on **Apply Filter** after you have chosen all the filter criteria.

4. The grid now displays only the filtered data.

5. To reset the filter, click on the Filter icon to open the Filter options window and click on **Reset Filter**.

All the data (before the filter was applied) are displayed on the grid.
Figure 24
4 Imports

Every import requires a separate import authorization. Such authorization shall state the name of the substance/preparation, quantity of substances/preparations that have been imported/exported, name and address of the importer/exporter.

The quantity of narcotic drugs/psychotropic substances should be within the estimates/assessment limit of the country. I2ES checks the amount requested against the importing country’s estimates or assessments. If it exceeds the limit, the transaction is blocked. Only the CNA Administrator has the access to authorize import authorizations. When a user creates an import authorization, then a pre-draft export authorization for a counterpart country is created automatically. When the CNA of the exporting country authorizes this pre-draft, then the import and export authorizations get linked, which allows us to see the details of the counterpart authorization.

Data for both import and export authorizations can be entered manually in I2ES or can be uploaded directly via its web interface.

In cases of amounts destined for re-export, a warning appears informing the user about the conditions governing re-exports.

![List of authorized imports](image)

**Figure 25**

### 4.1 Create Import Authorization

A separate import authorization is needed for each import whether it consists of one or more substances or/and preparations containing such substances. You can create a new import authorization by selecting the **Create import authorization** under **Imports**. You can also create a new import authorization by clicking on the icon on the **List of draft import authorizations** form.

Likewise, by clicking on the icon of that list, you may directly create a new export authorization, without having to change the sub-menu (refer to **5.1.1 Create from pre-drafts**).

**Workflow:** A company requests an import authorization for narcotic drugs and/or psychotropic substances. The competent authority of the importing country enters the related information into the I2ES import authorization form. I2ES checks whether the quantity of the narcotic drug and/or psychotropic...
substance is within the import limit (estimate/assessment) of the country. Four different buttons are available on a new import authorization form: Authorize, Save as Draft, Preview and Cancel.

1. Select Create import authorization under Imports.

2. The authorization number is pre-populated with the most recently used authorization number, which can be manually overridden.

Note: If you do not change the authorization number manually, you will get a warning to do so.

3. Enter all the other mandatory fields under the different sub-sections: Importer, Exporter and Substances and/or Preparations.

4. In the Substances/Preparations sub-form, click on + to open up a Substance/Preparation Content pop-up.

5. Enter the mandatory fields, i.e., Substance/Preparation Name and the Quantity Authorized in the Substance Content and Preparation content pop-up windows, respectively.

6. Click on Add button to save the new record.

7. Enter the Date of Issuance, Expiration date, Place of issuance and Name of issuing authority, which are mandatory fields.

8. If a consignment is destined to a bonded warehouse, the name of the warehouse is selected from the drop-down list.

9. The “Notes” icon shows the text of the notes that should be reproduced at the back of all import authorizations, as stipulated by the Commission on Narcotic Drugs.
10. Once all the mandatory fields have been entered, the CNA Administrator can click on the **Authorize** button.

**Note:** Once authorized, the import authorization can be viewed by the importing authority under the Imports menu. It can also be printed. Once stamped and signed, this paper authorization can be used as the country’s authentic import authorization.

11. If the Administrator does not want to authorize the authorization right away, it can be saved as a draft by clicking on the **Save as Draft** button. This can then be later retrieved and authorized by the Manager.

12. If the administrator does not want to authorize the Import authorization, it can delete it by clicking on the **Delete draft** button on the bottom of the form.

13. You can view the form in print format by clicking on the **Preview** button.

14. You can also cancel the Import Authorization as long as it has not been endorsed yet, by clicking on the **Cancel** button.

**Note:** The Substance/Preparation Name drop-down list only shows the first 20 entries. However, once you start typing the name in this field, the substance/preparation name will be autopopulated and it can be selected.

---

**Figure 27**
11. On selecting a psychotropic substance listed in Schedule 1 of the 1971 Convention, a warning message appears. Click on OK if you wish to proceed.

12. If you select a substance which has been prohibited by your country for import, a warning message is shown on the substance content window and the transaction is blocked. The list of prohibited substances is maintained by the INCB Secretariat and updated in cases of new notifications by Governments pursuant to article 13 of the 1971 Convention.
13. Select the check-box on the Substance or/and Preparation content window if the import is destined for re-export.

14. A pop-up appears reminding the user of the conditions related to re-exports.

15. Once the substance/preparation content form has been filled in, the data are displayed on the Substances and Preparations details grids, respectively.
**Note:** I2ES currently does not allow partial shipments, i.e. the issuing of multiple import certificates against one import authorization, pursuant to article 31, paragraph 4 (d) of the Single Convention on Narcotic Drugs.

16. If the substance is destined for **Re-Export**, it is indicated under.

17. To see the importing country’s estimate balance of the drug in question, click on.

18. A pop-up window with a complete overview of the **Transaction Details** and **Base Substance Details** is displayed.
4.2 Use of Codes for CPS (Concentrate of poppy straw)

CPS is the intermediate material arising when any of the three varieties of poppy straw rich in codeine (C), morphine (m) or thebaine (T) has entered into the process for concentration of its alkaloids. Each of these varieties of CPS are broken down in each of their respective anhydrous alkaloids.

1. If one of the CPS Gross Weights (CW) is to be selected (NC020, NCO30, NC040, NC050), the system will automatically prompt the user to specify amounts for the corresponding alkaloids.(AMA, ACA, ATA, AOA)

2. The amounts specified for the corresponding alkaloids are then checked against the corresponding estimates (NX010, NXO20, NXO30, NXO40)

3. Depending on which CPS GW is chosen, its key alkaloid has to be greater than zero.

4. It is optional to specify the quantity of the CPS Gross Weight

5. Once the quantity has been entered in the **Quantity authorized to be exported** field, confirm the changes by clicking on the ✅ and if you want to cancel the changes, click on ❌

![Figure 34](image)

6. It will then appear in the grid in the **Substances section**.
Figure 35

**Note**: A warning appears on authorizing an import authorization if there is an insufficient estimate/assessment for a substance for a specific country.

### 4.3 View own import authorization

In this sub-menu, you can see all the import authorizations, which are **Drafts**, **Authorized import authorizations**, **Cancelled import authorizations** or **Authorized imports destined for re-export**.

Figure 36

#### 4.3.1 Drafts

Here, the import authorizations are listed which are in the “draft” status. These draft import authorizations can either be authorized by clicking on the **Authorize** button, **Saved as draft**, deleted by clicking on the **Delete draft** button, or displayed in print preview format. All these buttons are available at the bottom of the form.
4.3.2 Authorized import authorizations

The authorized import authorization is to be furnished by the person or establishment applying for an export authorization to the competent national authorities of the exporting country.

In this view, you can see the list of all the import authorizations that have been authorized already. You can open an individual import authorization by clicking on the Edit/view icon. Authorized import authorizations can be cancelled by clicking on the Cancel authorization button at the bottom of the form.

**Note:** After cancellation of an import authorization, the amount in question will be automatically added again to the estimates/assessments balance of the importing country. Furthermore, an alert message will be automatically sent to the counterpart country. The alert message will also appear under Alerts > Cancelled import authorizations.

4.3.3 Cancelled import authorizations

Here, all import authorizations are listed which were cancelled after having been authorized. In some cases, it is necessary to cancel valid import authorizations, for reasons of loss, theft or expiration. It is possible to view these cancelled import authorizations in print format by clicking on the Preview button at the bottom of the form. When cancelled, an alert message is automatically sent to
the counterpart country. The alert message also appears under **Alerts > Cancelled** import authorizations.

<table>
<thead>
<tr>
<th>Authorization type</th>
<th>Status</th>
<th>Creation method</th>
<th>Counterpart authorization number</th>
<th>Counterpart country</th>
<th>Counterpart importer/exporter</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IMPORT</strong></td>
<td>CANCELLED</td>
<td></td>
<td>IMPD1000212...</td>
<td>Italy</td>
<td><strong>Chim era</strong></td>
</tr>
<tr>
<td><strong>IMPORT</strong></td>
<td>CANCELLED</td>
<td></td>
<td>IMPD1000212...</td>
<td>Italy</td>
<td><strong>Chim era</strong></td>
</tr>
<tr>
<td><strong>IMPORT</strong></td>
<td>CANCELLED</td>
<td></td>
<td>IMPD1000212...</td>
<td>Italy</td>
<td><strong>Chim era</strong></td>
</tr>
<tr>
<td><strong>IMPORT</strong></td>
<td>CANCELLED</td>
<td></td>
<td>IMPD1000212...</td>
<td>Italy</td>
<td><strong>Chim era</strong></td>
</tr>
</tbody>
</table>

**Figure 39**

4.3.4 Authorized imports destined for re-export

All the import authorizations in which the imported quantity will be used for re-export to other countries or territories, are listed in this view.

<table>
<thead>
<tr>
<th>Authorization type</th>
<th>Status</th>
<th>Creation method</th>
<th>Counterpart authorization number</th>
<th>Counterpart country</th>
<th>Counterpart importer/exporter</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IMPORT</strong></td>
<td>AUTHORIZED</td>
<td></td>
<td>IMPD1000214</td>
<td>Italy</td>
<td>Faber &amp; Faber</td>
</tr>
<tr>
<td><strong>IMPORT</strong></td>
<td>AUTHORIZED</td>
<td></td>
<td>IMPD1000214</td>
<td>Italy</td>
<td>Faber &amp; Faber</td>
</tr>
</tbody>
</table>

**Figure 40**

1. You can edit this form by clicking on the **Edit/view** icon.
2. You can select the re-export check-box in the substances and/or preparations content window.
3. A pop-up message appears if the re-export check-box has been selected.
4. The re-export column has been checked and appears under the Re-export column.

5. You can clear the re-export flag by clicking on the icon in the right-most column in the substances/preparations grids if you would want to cancel the re-export.

Note: If the imports that have been flagged for re-export have not been re-exported by 30 November of a given year, the user(s) of the importing country will be notified accordingly. The amount(s) of any import that were flagged for re-export but were not re-exported in a given year will be deducted from the importing country’s estimates/assessments balance at the end of that year.

4.4 View counterpart import authorization

In this view, all the counterpart import authorizations are listed which are either in authorized or cancelled status.

4.4.1 Authorized import authorizations

This view displays the list of all counterpart authorized import authorizations. The creation method can either be manual or by xml upload and indicated by the different icon in the Creation Method column.
4.4.2 Cancelled import authorizations

This view lists all the counterpart cancelled import authorizations.
5 Exports

Every export requires a separate export authorization. Such authorization has to state the name of the substance/preparation, quantity to be exported, name and address of the importer and exporter, as well as the number, date and name of the issuing authority of the related import authorization. The quantity of narcotic drugs/psychotropic substances authorized to be exported must be within the estimates/assessments limit of the importing country. Only the CNA Administrator has the access to authorize export authorizations.

The data of both import and export authorizations can be entered manually in I2ES, or can be uploaded directly via its web interface.

<table>
<thead>
<tr>
<th>Authorization type</th>
<th>Status</th>
<th>Creation method</th>
<th>Authorization number</th>
<th>Date of application</th>
<th>Date of issuance</th>
<th>Importation date</th>
<th>Importer / exporter</th>
<th>Counterpart country</th>
<th>Counterpart import / exporter</th>
</tr>
</thead>
<tbody>
<tr>
<td>IMPORT</td>
<td>AUTHORIZED</td>
<td></td>
<td>12126.E.2057</td>
<td>01/12/2014</td>
<td>01/12/2014</td>
<td>31/02/2015</td>
<td>P. Kuhnam &amp; L.</td>
<td>Thailand</td>
<td>CNS(Thai)</td>
</tr>
<tr>
<td>IMPORT</td>
<td>AUTHORIZED</td>
<td></td>
<td>12797.E.2057</td>
<td>11/12/2014</td>
<td>13/12/2014</td>
<td>31/02/2015</td>
<td>Lepared &amp; CO</td>
<td>Thailand</td>
<td>Royal Thai Pol.</td>
</tr>
</tbody>
</table>

Figure 45

5.1 Create Export Authorization

Workflow: A company requests an export authorization for narcotic drugs or psychotropic substances. The quantity of the substance in question must be within the estimates/assessments limit of the importing country. Only the CNA Administrator can authorize export authorizations.

5.1.1 Create from pre-drafts

When an import authorization has been authorized in I2ES, a pre-draft for an export authorization is automatically created and displayed in the exporting authorities’ exports menu under pre-drafts. A draft export authorization based on that import authorization, and assigns it to status Pre-draft, which can later be changed to Draft or Authorized.

It is also possible to create a new export authorization by clicking on the icon the List of draft export authorizations form. Likewise, by clicking on the icon of that list, you may create directly a new import authorization, without having to change the sub-menu (refer section 4.1 Create Import Authorization).

1. Select Exports > Create Export authorizations > Create from pre-drafts.
2. Enter the authorization number on the export authorization pre-draft form.

3. **Importer details** are pre-populated in this form.

4. Enter the **Place of issuance**, which is a mandatory field.

5. You can either authorize the export authorization by clicking on the **Authorize** button or **Save as draft**.

### 5.1.2 Create new authorization

When the counterpart country is not registered in I2ES and a pre-draft does not exist, you can create a new export authorization.

1. Select **Exports > Create export authorization > Create new authorization**.

2. Enter all the fields under the different sub-sections: **Respective import authorization**, **Exporter**, **Importer**, **Bonded warehouse**, **Substances**, **Preparations**, and **Itinerary**.

3. To add a new substance, click on 🔄 to open up a **Substances content** pop-up.

4. Enter the mandatory fields i.e **Name of the Substance** and **Quantity authorized to be exported** in the **Substance Content** window and click on the **Add** button.

5. To add a new preparation, click on 🔄 to open up a **Preparation Content** pop-up.

6. Enter the mandatory fields, i.e., **Name of the preparation** and **Total number of packages authorized to be exported** in the **Preparation content** pop-up and click on the **Add** button.

![Substance content](image)

**Figure 46**
7. It is possible to enter a preparation name in the export authorization that it different from the preparation name used in the related import authorization, provided that the base substance remains the same, and provided that total amount of the base substance authorized for export does not exceed the base amount that had been authorized for import.

8. Once the substance or preparation has been added, it is displayed on the Substances and Preparations details grids, respectively.

**Note**: In case you have selected a substance whose import has been prohibited by the importing country pursuant to article 13 of the 1971 Convention, a warning message is shown on the substance content window and the transaction is blocked. The list of prohibited substances is maintained by the INCB Secretariat and uploaded in cases of new notifications by Governments pursuant to article 13 of the 1971 Convention.
9. Select the check box on the Substance or/and Preparation content window, if the amount is destined for re-export.

10. If the substance is destined for re-export, it is indicated under

11. Once all the mandatory fields have been entered, the CNA Administrator can click on the Authorize button.

12. If the Administrator does not want to authorize the authorization right away, it can be saved as a draft by clicking on the Save as Draft button.

13. If the Administrator does not want to authorize the export authorization, he can delete it by clicking on the Delete Draft button.

14. You can view the form in print format by clicking on the Preview button.

15. You can also cancel the Export Authorization as long as it has not been endorsed yet, by clicking on the Cancel button.

**Note:** When you cancel an export authorization, a notification is sent to the counterpart country. That notification also appears under Alerts > Cancelled Export Authorizations.

**Note:** I2ES currently does not allow multiple consignments, i.e. the issuing of one export authorization against multiple import authorizations.
5.1.3 Create from pre-drafts

When the Administrator authorizes an import authorization, I2ES automatically creates a draft export authorization based on the import authorization and assigns it to status Pre-draft, which can later be changed to Draft or Authorized.

1. Select Exports > Create Export authorizations > Create from pre-drafts.

2. Enter the export authorization number on the Export Authorization pre-draft form.

3. Importer details are pre-populated in this form.

4. Enter the Place of issuance, which is a mandatory field.

5. The Administrator can either authorize the export authorization by clicking on the Authorize button, or save it as a draft, by clicking Save as draft.

5.2 View own export authorization

In this sub-menu, you can see all of your country’s export authorizations which are Drafts, Authorized export authorizations, or Cancelled export authorizations.

5.2.1 Drafts

The export authorizations in the “draft” status are listed here. These draft export authorizations can either be authorized by clicking on the Authorize button, Saved as draft, deleted by clicking on the Delete draft button, or displayed in print preview format. All these buttons are available at the bottom of the form.

5.2.2 Authorized export authorizations

In this view, you can see the list of all of your country’s export authorizations that have been authorized already. You can open individual export authorizations by clicking on the Edit/view icon. These export authorizations can be cancelled by clicking on the Cancel authorization button at the bottom of the form.
5.2.3 Cancelled export authorizations

Here, all the export authorizations are listed which were cancelled after having been authorized. It is possible to view these cancelled export authorizations in print format by clicking on the **Preview** button at the bottom of the form.

5.3 View counterpart export authorizations

In this sub-menu, you can see all the counterpart export authorizations. They are listed under **Authorized export authorizations** and **Cancelled export authorizations**.

5.3.1 Authorized export authorizations

This view displays the list of all counterpart authorized export authorizations. Once authorized, export authorizations can be viewed in the Exports menu. This can be printed and once stamped and signed can be used as the country’s authentic export authorization.
5.3.2 Cancelled export authorizations

This view displays all the counterpart cancelled export authorizations. Once the counterpart authority cancels an already authorized export authorization, an alert message is automatically sent out to the CNA of the importing country. The alert message also appears under Alerts > Cancellation by Counterpart > Cancelled export authorizations.
6 Confirmation of Exports

When the exporting company, or customs, inform the authorities of the exporting country of the exact amount that has actually been exported, this information is entered into I2ES.

Workflow: The exporter or customs informs the CNA of the exporting country of the quantity that was actually exported.

Figure 56

6.1 Confirm own exports (from pre-drafts)

Whenever an export authorization is authorized, I2ES creates automatically a pre-draft for a confirmation of exports.

The pre-draft is pre-populated with all the information contained in the related import and export authorizations. The exporting authority now enters into the pre-draft, the substances and amounts actually exported from its country.

1. You can confirm your own exports from the pre-draft state (status Authorized)

2. On the List of pre-drafts (for confirmation of exports) grid, select the export authorization, which needs to be confirmed, and click on the Edit/view icon in the right-most column in the grid.

3. On the Confirmation of export form, click on icon in the Substances or Preparation details grid.

4. In the Substance content or Preparation content pop-up, select the Quantity confirmed as exported and click on Update.

Note: The confirmed quantity cannot exceed the quantity authorized for export. It can however be less than the quantity authorized for export.

5. In case that the amount confirmed as exported is lower than the amount authorized to be exported, enter the amount that was actually exported.

6. Select the Date of export effected and click on the Confirm Export button at the bottom of the form.

Note: The Date of export affected cannot be later than the date of confirmation of export

7. A confirmation message appears: Click on Yes.
6.2 View own confirmation of exports

1. All export authorizations, once confirmed, appear in the **List of own confirmed exports** grid. The status of the export authorization is shown as **Confirmed**.

2. **Date of Confirmation of export** is also displayed in the grid.

6.3 View counterpart confirmations of exports

1. To view all confirmations of exports by counterpart countries, select the option **View Counterpart confirmations of exports**.

![List of counterpart confirmed exports](image)

**Figure 57**

2. You can click on the > arrow to expand the substances/preparations grid of the Counterpart Confirmed exports.

![Substances grid](image)

**Figure 58**
7 Endorsements

Transactions can either be manually endorsed via the I2ES web interface, or through an XML upload. Uploaded or manually entered endorsements are displayed in the List of own endorsements/counterpart endorsements.

7.1 Create endorsements (from pre-drafts)

Workflow: Once a consignment is actually received in the importing country, the CNA of the importing country must endorse a copy of the respective export authorization and transmit it to the CNA of the exporting country. Transmission of endorsements is done automatically by I2ES. The actual amount received is to be entered and endorsed.

1. Select Endorsements > Create Endorsements (from pre-drafts).
2. Open the Import authorization form (status Authorized) in the list and click on Edit/view icon.
3. On the Endorsement form, click on the Edit/view icon in the Substances / Preparations grid.
4. In the Substance/Preparation content pop-up, select Quantity endorsed (actual amount received), enter the amount actually received (if lower than the amount authorized to be exported/confirmed as exported) and click on Update.

Figure 59

Note: The endorsed quantity cannot exceed the quantity authorized for export or confirmed as exported. It can however be less than the quantity authorized for export/confirmed as exported.
5. If the quantity to be endorsed is lower than the quantity authorized to be exported/confirmed as exported, an alert message is automatically sent to the CNA of the exporting country. This alert message also appears under **Alerts > Short Deliveries > Type 1**.

6. Select the **Date of import effected** and click on the **Endorse** button.

7. A confirmation message appears: Click on Yes.

8. The export authorization is now endorsed and the status in the grid is now displayed as Endorsed.

### 7.2 View own Endorsements

1. All authorizations, once endorsed, appear in the **List of Endorsed Import Authorizations** grid.

2. **Date of Endorsement** is also displayed in the grid.

### List of endorsed import authorizations

<table>
<thead>
<tr>
<th>Authorization type</th>
<th>Status</th>
<th>Credible</th>
<th>Authorization number</th>
<th>Counterparty endorsement number</th>
<th>Date of application</th>
<th>Date of issuance</th>
<th>Expiration date</th>
<th>Date of endorsement</th>
<th>Importer / exporter</th>
<th>Counterparty country</th>
<th>Counterparty import / exporter</th>
</tr>
</thead>
<tbody>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>01/02/2015</td>
<td>01/07/2015</td>
<td>01/03/2015</td>
<td>01/03/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>28/02/2015</td>
<td>28/07/2015</td>
<td>28/03/2015</td>
<td>28/03/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>11/02/2015</td>
<td>11/07/2015</td>
<td>11/03/2015</td>
<td>11/03/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>05/02/2015</td>
<td>05/07/2015</td>
<td>05/03/2015</td>
<td>05/03/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>03/03/2015</td>
<td>03/08/2015</td>
<td>03/04/2015</td>
<td>03/04/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>02/03/2015</td>
<td>02/08/2015</td>
<td>02/04/2015</td>
<td>02/04/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>27/06/2015</td>
<td>27/11/2015</td>
<td>27/07/2015</td>
<td>27/07/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
</tbody>
</table>

**Figure 60**

### 7.3 View Counterpart Endorsements

1. To view all endorsed import authorizations by counterpart countries, select the option **View Counterpart endorsements**.

### List of counterpart endorsements

<table>
<thead>
<tr>
<th>Authorization type</th>
<th>Status</th>
<th>Credible</th>
<th>Authorization number</th>
<th>Counterparty endorsement number</th>
<th>Date of application</th>
<th>Date of issuance</th>
<th>Expiration date</th>
<th>Date of endorsement</th>
<th>Importer / exporter</th>
<th>Counterparty country</th>
<th>Counterparty import / exporter</th>
</tr>
</thead>
<tbody>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>BPM050502...</td>
<td></td>
<td>01/02/2015</td>
<td>01/07/2015</td>
<td>01/03/2015</td>
<td>01/03/2015</td>
<td>Italia - CNA</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>Exell 1</td>
<td></td>
<td>02/06/2014</td>
<td>02/11/2014</td>
<td>02/07/2014</td>
<td>02/07/2014</td>
<td>Italia</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>Exell 3</td>
<td></td>
<td>02/06/2014</td>
<td>02/11/2014</td>
<td>02/07/2014</td>
<td>02/07/2014</td>
<td>Italia</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>Exell 4</td>
<td></td>
<td>02/06/2014</td>
<td>02/11/2014</td>
<td>02/07/2014</td>
<td>02/07/2014</td>
<td>Italia</td>
<td>Italia</td>
<td>Italia</td>
</tr>
<tr>
<td>IMPORT ENDORSED</td>
<td></td>
<td></td>
<td>Krom 1234</td>
<td></td>
<td>22/07/2014</td>
<td>22/12/2014</td>
<td>22/08/2014</td>
<td>22/08/2014</td>
<td>Italia</td>
<td>Italia</td>
<td>Italia</td>
</tr>
</tbody>
</table>

**Figure 61**
8 XML Upload

Countries, which are using their own electronic drug control system at the national level, can continue to issue import and export authorizations in their own national systems. They can also use I2ES for rapid communication with their counterpart authorities. They can upload their authorizations via XML to I2ES for onward transmission to their counterpart countries. During the XML upload, the system checks if the quantities are within the valid estimates and assessments of the importing country. The same XML file can be uploaded as many times as needed. The last one overwrites the previous submission. They can also download from I2ES via XML all authorizations issued by their counterpart countries.

8.1 Import/Export Authorizations from XML

1. Select **Imports > View own import authorizations** or under **Exports > View own export authorizations**.

2. On the List of **Import/Export Authorizations**, click on the icon on the grid toolbar to upload the import/export authorization from XML.

3. Once uploaded, click on the **Submit** button.

4. The authorization now appears in the **List of authorized import authorizations** or **List of authorized export authorizations**.

8.2 Confirmation of Exports from XML

1. Select **Confirmation of exports > Confirm own exports (from pre-drafts)**.
2. On the **List of pre-drafts (for confirmation of exports)**, click on the icon on the grid toolbar.

3. Once uploaded, click on the **Submit** button.

2. The confirmed exports appear in the list of own or counterpart confirmed exports.

3. To view the Export endorsement in XML format, click on the icon in the right-most column of the grid.
8.3 Endorsements from XML

1. Select Endorsements > Create Endorsements (from pre-drafts).

2. On the List of pre-drafts (for endorsements), click on the icon on the grid toolbar.

3. Once uploaded, click on the Submit button.

4. The endorsements appear in the List of own endorsements or List of counterpart endorsements.

5. The endorsements are displayed in the grid under the following columns: Authorization type, Creation Method, Status, Authorization number, Counterpart authorization, Date of application, Date of issuance, Expiration date, Date of endorsement, Importer/Exporter, Counterpart country and Counterpart importer/exporter.

5. The endorsements made by the counterpart country can be viewed in the List of counterpart endorsements.
### List of counterparty endorsements

<table>
<thead>
<tr>
<th>Authorization type</th>
<th>Status</th>
<th>Authorization number</th>
<th>Date of application</th>
<th>Date of issuance</th>
<th>Expiration date</th>
<th>Endorsement / Confirmation of export date</th>
<th>Importer / exporter</th>
<th>Counterpart country</th>
<th>Counterpart importer / exporter</th>
</tr>
</thead>
<tbody>
<tr>
<td>IMPORT</td>
<td>ENDORSED</td>
<td>IMP053/2014</td>
<td>15/07/2014</td>
<td>15/07/2014</td>
<td>15/07/2014</td>
<td>15/07/2014</td>
<td>Azienda</td>
<td>Switzerland</td>
<td>Almirall AG</td>
</tr>
<tr>
<td>IMPORT</td>
<td>ENDORSED</td>
<td>IMP059/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>Dipharma</td>
<td>Switzerland</td>
<td>Almirall AG</td>
</tr>
<tr>
<td>IMPORT</td>
<td>ENDORSED</td>
<td>IMP058/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>Azienda</td>
<td>Switzerland</td>
<td>Almirall AG</td>
</tr>
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<td>IMP057/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>10/07/2014</td>
<td>Dipharma</td>
<td>Switzerland</td>
<td>Lipomed AG</td>
</tr>
<tr>
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<td>04/07/2014</td>
<td>04/07/2014</td>
<td>04/07/2014</td>
<td>04/07/2014</td>
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<td>Switzerland</td>
<td>Farmacia</td>
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<td>02/07/2014</td>
<td>02/07/2014</td>
<td>02/07/2014</td>
<td>02/07/2014</td>
<td>Azienda</td>
<td>Switzerland</td>
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<td>13/05/2014</td>
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<td>13/05/2014</td>
<td>13/05/2014</td>
<td>Azienda</td>
<td>Switzerland</td>
<td>Lipomed AG</td>
</tr>
<tr>
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<td>IT</td>
<td>21/03/2014</td>
<td>21/03/2014</td>
<td>21/03/2014</td>
<td>21/03/2024</td>
<td>Roche SpA</td>
<td>Switzerland</td>
<td>Farmacia</td>
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<td>ENDORSED</td>
<td>IMP89989/2014</td>
<td>20/03/2014</td>
<td>20/03/2014</td>
<td>20/03/2014</td>
<td>20/03/2024</td>
<td>Dipharma</td>
<td>Switzerland</td>
<td>Indukem Chem…</td>
</tr>
</tbody>
</table>

**Figure 66**
9 Alerts

An important feature of I2ES is the issuance of alerts.

Every time you log in to I2ES, an Alert pop-up in the top right-hand corner of the screen might appear. This pop-up displays the new alerts that have been issued by I2ES. You can close the pop-up by clicking on the icon. The details about each alert can be viewed under the Alerts menu. There are 5 different types of Alert pop-ups: Short deliveries (Type 1 and 2), Cancellations by counterpart, Excess exports (XML), Counterpart endorsements, and Imports not yet re-exported.

![Image of I2ES Alerts]

**Figure 67**

**Figure 68**

### 9.1 Alert Messages Grid: Common Features

The lists of different alert messages appear in different grids. There are some common features between all these grids.

**New messages**: All “New” alert messages appear in the column indicated by 🔄

Unread messages in the grid appear in bold.

**Acknowledged messages**: To acknowledge a message in the list, select the check-box in the left-most corner of the grid. Select the Acknowledged button at the bottom of the grid. The message is acknowledged and indicated in the “acknowledged messages” column by ✓. Once acknowledged, the alert will be removed from the number of alerts displayed in the red box.

**Mark as viewed**: If you do not want to see the alert message content, you can select the check-box in the left-most column in the grid and click on the “Mark as viewed” button at the bottom of the grid to change the status of the alerts.
View authorization: You can click on the icon in the right-most column in the grid to view authorization related to the specific alert message. In this case, the alert will be “un-bolded”

Refresh: Click on the icon to refresh the grid.

Figure 69

9.1.1 Show new Alerts

Clicking on this option, directs the user to the red box. If there are no new alert messages to be displayed, you will see this pop-up.

Figure 70

9.2 Short Deliveries Alert

There are two different kinds of Short Deliveries: Short Deliveries (Type 1) and Short Deliveries (Type 2).
9.2.1 Short Deliveries (Type 1)

Short deliveries (Type 1) are all cases where the amounts actually received in your country are lower than the amounts that were authorized to be exported or confirmed as exported by the CNA of the exporting country. These alerts are displayed in the grid in the following columns: Alert type, Counterpart country, Authorization number, Alert date etc.

9.2.2 Short Deliveries (Type 2)

Short deliveries (Type 2) are all cases where the amounts actually received by the counterpart country are lower than the amounts that were authorized by you to be exported or confirmed as exported. These alerts are displayed in the grid in the following columns: Alert type, Counterpart country, Authorization number, Alert date etc. Unread messages appear in "bold" in the grid.
There are 2 different kinds of Alert messages with respect to Cancellations by counterpart: Cancelled import authorizations and Cancelled export authorizations.

### 9.3.1 Cancelled import authorizations

Here, all counterpart import authorizations are listed which were cancelled by the counterpart country. They are displayed in the following columns in the grid: Alert Type, Counterpart country, Authorization number and Alert date.

### 9.3.2 Cancelled export authorizations

Here, all counterpart export authorizations are listed which were cancelled by the counterpart country. They are displayed in the following columns in the grid: Alert Type, Counterpart country, Authorization number and Alert date.
9.4 Excess exports (XML)

During an XML upload, when the amounts authorized in the export authorizations exceed the estimates/assessments limit of the importing country, an alert message is sent to the competent national authorities of the importing country. The alert messages appear in the grid in the following columns: Alert type, Counterpart country, Authorization number and Alert date.

9.5 Counterpart Endorsements

When the user of the competent national authorities of the importing country endorses an import, I2ES creates an alert, informing the user(s) of the competent national authorities of the exporting country about the endorsement done. The alerts appear in the grid in the following columns: Alert Type, Counterpart Country, Authorization number and Alert Date.
There are 2 different kinds of Alert messages with respect to Imports not yet re-exported: **Authorized import authorizations** and **Endorsed import authorizations**.

**9.6.1 Authorized imports destined for re-export**

Authorized imports which are destined for re-export can be viewed at all times in the Menu **Imports>View own import authorizations> Authorized imports destined for re-export**. In addition to this, between the 1\textsuperscript{st} and 31\textsuperscript{st} of December of any given year, all imports destined for re-export will be displayed in this alert message as well.

**9.6.2 Endorsed imports destined for re-export**

Endorsed imports destined for re-export can be viewed at any time in the menu **Endorsements > View own endorsements> Endorsed imports destined for re-export**. In addition to this, between the 1\textsuperscript{st} and 31\textsuperscript{st} of December of any given year, all imports, which have already been endorsed and are destined for re-export will be displayed in this alert message as well.

**Note:** The purpose of these messages is to remind the competent national authorities to either proceed with the re-exports within the year in question or else check if they have to furnish supplementary estimates/assessments to INCB for all cases where import limits would be exceeded as a result of re-exports not having been effected.
10 Help


10.1 Forum

Clicking on this option opens up the user forum for questions relating to the application. It is an online message board, for exchanging views between all registered users and INCB. Every registered user can create their own topic and post a message and other users can reply to the post and publish them. Clicking on the individual topics will open the whole thread of posts in that topic. You can then sort these posts by creation date both in ascending and descending order.

![Forum Image](image.png)

Figure 81

10.2 List of Registered Users

Clicking on this option opens up the List of registered users in the grid in the following columns: Country, Organization, User name, E-mail and Phone.

10.3 User Manual

Clicking on this option will open the user manual of the application in pdf format. On clicking on any specific section on the Table of Contents, the user will be directed to that particular section.

10.4 Technical Requirements

Clicking on this option leads to the Technical Requirements screen. For training purposes, a training software is available under I2ES training.incb.org

Note: An important point to keep in mind before you start work with I2ES is that there is a special setting in the application, which allows the user to remain logged in for 20 minutes, before timing out automatically, after a period of inactivity. Session time outs are a protection mechanism for users, who leave
their computer unattended, without logging out of the application. After the time out period, the user has to login again.