



Secretariat of the International Narcotics Control Board  
Psychotropics Control Section

Training material  
Control of psychotropic substances



United Nations • Vienna, 2011



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## Foreword

The training material is prepared by the International Narcotics Control Board to help Governments better understand and comply with the provisions and requirements of the Convention on Psychotropic Substances of 1971. It further contains explanations and examples of how to prepare and report statistics on psychotropic substances, as required by the 1971 Convention and related resolutions of the Economic and Social Council and the Commission on Narcotic Drugs. The present publication is an update of the training material last revised in 2003. In conjunction with the training material, the latest versions of the following forms are made available to users, either attached to this publication, on CD-ROM or on the website of the Board ([www.incb.org](http://www.incb.org)).

- Annual statistical report on substances listed in the Convention on Psychotropic Substances of 1971 (form P)
- Quarterly statistics of imports and exports of substances in Schedule II of the Convention on Psychotropic Substances of 1971 (form A/P)
- Assessment of annual medical and scientific requirements for substances in Schedules II, III and IV of the Convention on Psychotropic Substances of 1971 (form B/P)
- List of psychotropic substances under international control (Green List)



# **I. Operation of the international control system for psychotropic substances**

## **A. Introduction to the Convention on Psychotropic Substances of 1971**

1. The Convention on Psychotropic Substances of 1971<sup>1</sup> was adopted at the United Nations Conference for the Adoption of a Protocol on Psychotropic Substances, held in Vienna from 11 January to 21 February 1971. The Convention came into force on 16 August 1976, 90 days after 40 States had become parties to it. As at December 2002, the number of parties to the Convention stood at 172.

2. In its resolution I, the United Nations Conference for the Adoption of a Protocol on Psychotropic Substances invited all States, to the extent they were able to do so, to apply provisionally the control measures provided in the Convention pending its entry into force for each of them. The Economic and Social Council of the United Nations endorsed that request in its resolution 1576 (L) of 20 May 1971.

3. The expression “psychotropic substance” is a legal term and refers to those natural or synthetic substances or any natural material listed in the four schedules of the 1971 Convention (originally 32 substances, at present 115 substances). The salts of those substances, where they exist, as well as preparations (see definition in para. 84) containing those substances, are subject to the same control requirements as the base substance. Isomers are considered to be different substances from the psychotropic substance of which they are chemical variants. They are not within the scope of the 1971 Convention unless specifically indicated in one of the Schedules.

4. The 1971 Convention provides a different control regime for each Schedule. This reflects the need to apply varying controls on psychotropic substances that correspond to their therapeutic value and their risk of abuse. The strictest control regime is stipulated for substances in Schedule I (see para. 12). The degree of strictness of the control measures to be applied to substances in Schedules II, III and IV decreases from Schedule II onwards.

5. The International Narcotics Control Board (INCB) is mandated by the 1971 Convention to monitor the application of the control measures required by the Convention.

6. The control measures provided for in the 1971 Convention represent the minimum control requirements that Governments must implement and maintain. Governments are free to introduce more stringent measures of control. Past experience has shown that the control measures for international trade stipulated by the Convention are insufficient to enable Governments to prevent the diversion of psychotropic substances to illicit traffic. INCB therefore subsequently recommended several additional control measures for international trade in psychotropic substances, which were endorsed by the Economic and Social Council in its relevant resolutions.

7. The scope of control of the 1971 Convention is subject to modification, in conformity with the provisions of article 2. If a State party to the Convention or the

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<sup>1</sup> United Nations, *Treaty Series*, vol. 1019, No. 14956.

World Health Organization (WHO) has information relating to a substance not yet under international control, which in its opinion may require the addition of that substance to any of the schedules of the Convention, it shall notify the Secretary-General and furnish him with the information in support of that notification (art. 2, para. 1). The same procedure applies to the transfer of a substance from one schedule to another or the deletion of a substance from the schedules. Upon receipt of the medical and scientific opinion of WHO, the Commission on Narcotic Drugs may add a substance to a schedule, delete it or transfer it from one schedule to another.

8. Since the adoption of the 1971 Convention, 84 substances have been added to the initial list of substances included in the schedules of the Convention. Methaqualone, which was initially placed in Schedule IV, was moved to Schedule II in 1979 because of new information that had been gathered over the years indicating its increased abuse potential and decreased medical usefulness. Similarly, secobarbital was moved from Schedule III to Schedule II in 1988 and flunitrazepam from Schedule IV to Schedule III in 1995. *Delta-9-tetrahydrocannabinol* and its stereochemical variants were transferred in 1991 from Schedule I to Schedule II in view of their medical use. The other controlled isomers of tetrahydrocannabinol and their stereochemical variants remained in Schedule I. Propylhexedrine was deleted from Schedule IV in 1991 without being transferred to any other schedule. In 2001, 4-MTA was added to Schedule I, amineptine and 2C-B were added to Schedule II and *gamma*-hydroxybutyric acid (GHB) and zolpidem were added to Schedule IV.

## **B. General aims of the control measures**

9. The framework of control that the 1971 Convention requires Governments to establish is directed at protecting public health and welfare. The international community, in enacting the treaty, recognized that the abuse of psychotropic substances posed a serious health hazard to the individual and could threaten the social and economic fabric of normal life and that only through coordinated national and international measures could the dangers of drug addiction and illicit trafficking be overcome.

10. For the purpose of applying the provisions of the 1971 Convention, in article 6 of the Convention it is recommended that each State party should establish a special administration. That administration should be responsible for coordination at the national and international levels in matters concerning governmental obligations under the Convention. That function can be incorporated within an existing special administrative structure already established under article 17 of the Single Convention on Narcotic Drugs of 1961<sup>2</sup> and the 1961 Convention as amended by the 1972 Protocol<sup>3</sup> or may be executed by other means that conform to the constitutional and administrative structure of a Government.

11. The control measures and obligations set out in the 1971 Convention represent the minimum control requirements that Governments must implement and maintain. States parties may adopt more stringent measures of control (art. 23) and many do, in fact, do so.

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<sup>2</sup> Ibid., vol. 520, No. 7515.

<sup>3</sup> Ibid., vol. 976, No. 14152.

12. Under article 5 of the 1971 Convention, the manufacture, export, import, distribution, holding of stocks, use and possession of all psychotropic substances, as well as trade in them, must be limited to medical and scientific purposes. The restrictions on the use of substances in Schedule I are stricter than those on the substances in the other three schedules. The use of substances in Schedule I must be prohibited except for scientific and very limited medical purposes. Only authorized persons in medical or scientific establishments directly under the control of or specifically approved by a Government may use those substances. Access to those substances, however, should not be restricted in such a way as to hamper legitimate medical and scientific research.

13. Subject to its constitutional limitations, each State party shall treat as a punishable offence, when committed intentionally, any action contrary to a law or regulation adopted in pursuance of its obligations under the 1971 Convention (art. 22).

### **C. National control measures**

14. In general, the 1971 Convention requires States parties to adopt such legislative and administrative measures as may be necessary:

(a) To give effect to the provisions of the Convention within their respective territories;

(b) To cooperate with other States and international organizations in the execution of the aims of the Convention.

#### **1. Licences**

15. To ensure that activities involving substances in Schedules II, III and IV of the 1971 Convention are limited to what is necessary for medical and scientific purposes, article 8 of the Convention requires that the manufacture of, trade (including export and import trade) in and distribution of those substances be conducted under licence or under some similar governmental control measure. Governmental control must be imposed upon all duly authorized persons and enterprises engaged in such operations. Moreover, under article 8, paragraph 2 (b), the establishments and premises in which manufacture, trade or distribution may take place must also be controlled under licence or by similar means. Pursuant to the latter provision, Governments may consider making a condition of the licence that the building concerned and any equipment therein should be constructed in such a way as to facilitate control and afford protection against theft.

16. In the case of substances in Schedule I of the 1971 Convention, article 7, subparagraph (b), requires that manufacture, trade, distribution and possession be under a special licence or prior authorization. Article 7, subparagraph (f), prohibits the export and import of substances in Schedule I except when both the exporter and importer are the competent authorities or agencies of the exporting and importing country or region, respectively, or when they are other persons or enterprises specifically authorized by the competent authorities of their country or region for the purpose. According to article 7, subparagraph (a), the very limited use of substances in Schedule I allowed by the Convention may be carried out only by duly

authorized persons, in medical or scientific establishments which are directly under the control of their Governments or specifically approved by them.

17. Whichever the schedule or substance involved, any person who obtains a licence in accordance with the 1971 Convention must be adequately qualified to execute effectively and faithfully the provisions of the domestic laws and regulations enacted in pursuance of the Convention. The words “adequately qualified” should be understood to refer to both technical and moral qualifications.

## **2. Records**

18. Article 11 of the 1971 Convention requires persons who deal with psychotropic substances to keep records of specified aspects of their dealings. The records should provide a basis for determining whether the conditions attached to the licences discussed above are being met. They should also serve as the source from which Governments obtain the statistical information referred to in article 16 (see para. 51), which requires parties to furnish INCB, and also the Secretary-General of the United Nations, with certain data on psychotropic substances. Such information and records shall be preserved by Governments for at least two years.

19. The obligations imposed by article 11 are as follows:

(a) *Substances in Schedule I.* Manufacturers and all other persons authorized to trade in and distribute the substances in Schedule I must keep detailed records of: (i) the quantities manufactured; (ii) the quantities held in stock; and (iii) the size, date, supplier and recipient of each acquisition and disposal;

(b) *Substances in Schedules II and III.* Manufacturers, wholesale distributors, exporters and importers must keep detailed records of: (i) the quantities manufactured; and (ii) the size, date, supplier and recipient of each acquisition and disposal. If the substance is listed in Schedule II, these particulars of acquisitions and disposals must also be recorded by retail distributors, institutions for hospitalization and care and scientific institutions. However, where substances in Schedule III are concerned, information regarding acquisitions and disposals by the last mentioned distributors and institutions need only be readily available;

(c) *Substances in Schedule IV.* The only persons who must keep records relating to substances in Schedule IV are manufacturers, exporters and importers; and the facts that they must record, as determined by each State party, are the total quantities manufactured, exported and imported each year;

(d) *Exempted preparations (of substances in Schedules II-IV).* A manufacturer must record, with respect to each exempted preparation (see para. 44) manufactured: (i) the quantity of each psychotropic substance used in the manufacture of the preparation; (ii) the total quantity manufactured; and (iii) the nature and initial disposal of the preparation.

## **3. Inspection**

20. Under article 15, every State party to the 1971 Convention must maintain a system for the inspection of manufacturers, exporters, importers, wholesale distributors and retail distributors of psychotropic substances and for the inspection of medical and scientific institutions that use such substances. The inspections have

to be made as frequently as needed for efficient control and must encompass premises, stocks and records. These inspections are of the utmost importance, inasmuch as they afford a means of determining directly and comprehensively whether prescribed controls are being properly implemented and faithfully applied. With a system of inspection, national authorities can ascertain whether the conditions attached to licences are being met, whether activities involving psychotropic substances are being confined to what is legitimate and whether diversion into illicit channels may have taken place.

#### **4. Prescriptions**

21. To ensure that psychotropic substances are dispensed for use by individuals only in cases of medical need, article 9 establishes the rule that such dispensation may be made pursuant to medical prescription only. This rule applies to substances in Schedules II-IV. Substances in Schedule I are subject to the more thoroughgoing prohibition against use set forth in article 7, subparagraph (a). The issuing of prescriptions must conform to sound medical practice and to such regulation as is necessary to protect public health and welfare. It is recognized that conditions in some countries may render inappropriate the (universal) requiring of prescriptions and that, where adverse circumstances exist, specifically authorized persons may supply small quantities of the substances listed in Schedules III and IV without prescription, for medical use by individuals in exceptional cases.

#### **5. Warnings on packages and advertising**

22. Ensuring the safe and effective use of psychotropic substances is the objective of article 10 of the 1971 Convention. That provision requires that such directions for use as are necessary to ensure the safety of the user be indicated on the labels of, or in the leaflets accompanying, retail packages of psychotropic substances. These directions must include any appropriate cautions and warnings. Article 10 also obliges States parties to prohibit the advertisement of psychotropic substances to the general public.

#### **6. Controls on international trade**

23. The scope of the controls applied to the four schedules varies according to the level of the hazard or risk posed by the substances listed in each of them. The strictest controls apply to the import and export of substances in Schedule I: international trade is permitted only when the importer and the exporter are both competent national authorities, or persons or enterprises that are specifically authorized by the competent authorities of their respective countries to trade in those substances.

24. In the case of substances in Schedules I and II, the prior approval of the competent national authorities, in the form of import and export authorizations, must be obtained for each transaction. The authorizations should conform to the model established by the Commission on Narcotic Drugs (see models in annexes IV and V).

25. With respect to substances in Schedule III, the 1971 Convention does not require that import and export transactions be approved by the competent authorities. It requires only that the exporting country send to the authorities of the

importing country a notification of the export within 90 days of the dispatch of the export. The notification must be in the form of an export declaration, which gives certain details of the shipment. The Commission has also established model export declarations to facilitate compliance with this requirement by exporting countries (see para. 27 for additional control measures adopted by Governments pursuant to the relevant Economic and Social Council resolutions and annex VI for the model export declaration).

26. For substances in Schedule IV, neither prior authorizations nor export declarations are required by the Convention. The importer and exporter must merely keep records of transactions and at the end of each year notify their respective national authorities of the total quantities imported and exported (see para. 27 for additional control measures adopted by Governments pursuant to the relevant Economic and Social Council resolutions).

27. Since the mid-1980s, INCB has repeatedly drawn the attention of Governments to large diversions of substances included in Schedules III and IV from licit manufacture and trade into illicit traffic. The provisions of the 1971 Convention regarding control of international trade in those substances had proved ineffective and the Board therefore recommended to Governments the extension of control of international trade by the system of import and export authorization required by the 1971 Convention for substances in Schedules I and II to substances in Schedules III and IV. That request was endorsed by the Economic and Social Council in its resolutions 1985/15 of 28 May 1985, 1987/30 of 26 May 1987, 1991/44 of 21 June 1991 and 1993/38 of 27 July 1993. (The full text of resolutions 1991/44 and 1993/38 is provided in annex VII, sects. A and B, respectively.) In addition, Governments were requested by the Council to include in their reports on trade in psychotropic substances listed in Schedules III and IV details of the countries of origin of their imports and the countries of destination of their exports.

28. Before granting an import authorization, the competent authorities of the importing country should verify whether the company requesting such an authorization has the appropriate licence required under article 8 of the 1971 Convention and whether the quantity to be imported is in line with the legitimate needs of the country reported to INCB. For import as well as for export authorizations, the Convention requires States parties to use forms established by the Commission.

29. Before granting an export authorization, the competent authorities of the exporting country should require an import authorization issued by the competent authorities of the importing country. If, for substances in Schedules III and IV, an import authorization is not yet mandatory in the importing country, that document may be replaced by a "no objection certificate" issued by the competent authorities of the importing country. The list of countries and territories that require import authorization for at least some substances in Schedules III and IV of the 1971 Convention is circulated by INCB every six months to all competent authorities and is also included on the INCB website on the Internet, in the section with access restricted to governmental authorities only.

30. The competent authorities of the exporting country should always verify carefully whether the import authorization presented to them is an authentic

document. In doing so they should verify that the import authorization has been issued by the national authorities of the importing country empowered to issue such authorization (see *Competent National Authorities under the International Drug Control Treaties*)<sup>4</sup> and that the quantities required to be imported are within the legitimate requirements of the importing country (for assessments, see paras. 37-43 below).

31. In view of the frequent falsification of import documents for the purpose of diversion of psychotropic substances from licit trade to illicit channels, Governments may wish to consult with INCB on any suspicious order or have such an order reconfirmed by the authorities of the importing country.

32. The United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988<sup>5</sup> established additional obligations for parties with respect to international trade in psychotropic substances. In article 16 of the 1988 Convention, it is stipulated that each State party shall require that lawful exports of narcotic drugs and psychotropic substances be properly documented. Commercial documents such as invoices, cargo manifests and customs, transport and other shipping documents shall include the names of the narcotic drugs and psychotropic substances being exported as set out in the respective schedules of the 1961 Convention as amended by the 1972 Protocol and the 1971 Convention, the quantity being exported and the name and address of the exporter, the importer and, when available, the consignee. Furthermore, each party shall require that consignments of narcotic drugs and psychotropic substances are not mislabelled.

33. As mentioned in paragraph 29 above, INCB publishes for all countries and territories the table showing the countries whose national legislation requires the issuance of import authorizations for the import of substances in Schedules III and IV of the 1971 Convention (pursuant to Economic and Social Council resolutions 1985/15, 1987/30 and 1993/38). The competent authorities of all exporting countries are requested to consult the table before authorizing exports of psychotropic substances in Schedules III and IV of the 1971 Convention and to ensure that those substances are exported to countries or territories requiring import authorizations only when such authorizations have been issued by their competent authorities. All Governments are invited to review carefully the information in the table concerning the control of imports of psychotropic substances in Schedules III and IV into their respective countries. If the information needs to be amended, Governments are requested to communicate such amendments to INCB.

## **7. Prohibition of and restrictions on export and import**

34. As only limited controls are imposed by the 1971 Convention on international trade in substances listed in Schedules III and IV, the Convention provides a mechanism whereby a country may oblige all other countries not to export unwanted psychotropic substances to it. Under article 13, a State party may notify all the other parties through the Secretary-General that it prohibits the import into its country or into one of its regions of one or more substances in Schedule II, III or IV. The Secretary-General forwards the notification to all other States parties,

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<sup>4</sup> United Nations publication, Sales No. E.02.XI.5.

<sup>5</sup> Ibid., Sales No. E.91.XI.6.

each of which must then ensure that the specified substances are not exported from its territory to the notifying country.

35. The notifying country may subsequently authorize the importation of definite quantities of the substances concerned by issuing a special import licence, which must be transmitted directly to the competent authorities of the exporting country. The procedure provided for under article 13 is particularly useful to countries that have not yet developed the legislative and administrative mechanisms necessary to control fully their imports of psychotropic substances.

36. Governments are responsible for establishing the administrative controls necessary to prevent the export of substances to countries that prohibit their import. INCB is responsible for monitoring international trade to ensure that no violations related to notifications made pursuant to article 13 occur. In the light of article 13, Governments must direct their attention in particular to the substances listed in Schedules III and IV. Experience has shown that only the control of exports of those substances by the system of import and export authorizations provides for an effective mechanism to ensure the observance of import prohibitions under article 13.

#### **D. Simplified estimate system for psychotropic substances**

37. The control system provided for in the 1971 Convention is based largely on the system devised for narcotic drugs under the 1961 Convention as amended by the 1972 Protocol. However, at the end of the 1960s, when the 1971 Convention was drafted, it was considered that the estimate system applied to narcotic drugs was not needed for psychotropic substances.

38. In the late 1970s and early 1980s, attempts to divert large quantities of psychotropic substances in Schedule II were facilitated by the use of forged or counterfeit import authorizations. The lack of information available to exporting countries as to the legitimate requirements for psychotropic substances in importing countries hampered efforts to detect the illegal documents. Therefore, INCB proposed additional control measures, which were then endorsed by the Economic and Social Council in its resolution 1981/7 of 6 May 1981, in which the Council invited Governments to provide INCB with assessments of their annual medical and scientific requirements for substances in Schedule II. Furthermore, Governments were requested to furnish INCB with quarterly statistics on trade in those substances.

39. The positive experience with the use of assessments for substances in Schedule II in the prevention of their diversion to illicit markets led to additional measures regarding substances in Schedules III and IV. In its resolution 1991/44, the Economic and Social Council invited Governments to provide INCB with assessments of their legitimate medical and scientific requirements for psychotropic substances in Schedules III and IV and to develop mechanisms to ensure that exports of psychotropic substances were in line with importing countries' assessments and, if necessary, to consult with the Governments of such countries or with INCB in that connection.

40. Unlike the estimates required for narcotic drugs, assessments of the annual requirements for psychotropic substances are not required from Governments every year and do not have to be approved by INCB. The data received from Governments are published annually by INCB in *Psychotropic Substances: Statistics for [...] Assessments of Annual Medical and Scientific Requirements for Substances in Schedules II, III and IV* and serve as guidelines for exporting countries. A printed update of assessments is forwarded to all competent authorities on a quarterly basis. Updated assessments can also be accessed at the INCB website ([www.incb.org](http://www.incb.org)).

41. The INCB assessments should be used by national authorities of exporting countries to ascertain whether a requested import appears to be excessive in relation to the reported annual requirement for the importing country concerned. In such cases, Governments of exporting countries should refuse an export permit until the designated national authority of the importing country confirms the legitimacy of the import request. INCB can support exporting countries in channelling enquiries on the authenticity and legitimacy of import requests to importing countries.

42. In 1997, pursuant to Economic and Social Council resolution 1996/30 of 24 July 1996 (see annex VII.C), INCB established for the first time assessments of annual licit domestic requirements for psychotropic substances for countries that had not yet submitted such information. The assessments made by INCB reflect previous patterns of use of psychotropic substances in the respective countries. They should not be considered recommended consumption levels. The only objective of the assessments is to provide exporting countries with approximate information on the legitimate requirements of the importing country. INCB encourages all the Governments concerned to make their own assessments as soon as possible.

43. Exporting countries should note that importing countries are free to replace any substance for which an assessment has been made by INCB with another substance from the same therapeutic group and the same schedule, provided that the quantity to be imported, expressed in defined daily doses for statistical purposes (S-DDD), does not exceed the equivalent of the assessment also expressed in S-DDD. The composition of the therapeutic groups and the S-DDD of the substances in those groups are indicated in table III of the publication *Psychotropic Substances: Statistics for [...]*, referred to in paragraph 40 above.

## **E. Exemption of preparations**

44. Article 3 of the 1971 Convention permits a State party to exempt from some controls preparations that contain psychotropic substances other than those listed in Schedule I. An exemption may be made only when the preparation presents negligible or no risk of abuse and the psychotropic substance cannot be readily recovered in a quantity liable to abuse. To take advantage of this provision, a State party must notify the Secretary-General in writing of the name and composition of the exempted preparation and the measures of control from which it is exempted (a sample form is provided in annex II).

45. Under article 3, preparations may be exempted, inter alia, from the requirement of prior approval that applies to international trade in substances listed in Schedule II and from the requirement of a post-export declaration applicable with respect to substances in Schedule III. It should be stressed, however, that when a

Government is thinking of making such exemptions, it should consider the international impact that the exemptions will have on the functioning of control.

46. An exemption is valid only in the country that has decided to make it and has notified the Secretary-General accordingly. Governments that have not exempted the same preparation from the identical control measures are required to apply to the preparation in question the full complex of the international trade controls applicable to the preparation's base substance.

47. Consequently, a State party that has decided not to apply certain international trade controls to a particular preparation must nevertheless establish the administrative controls necessary to preclude any violation of the laws of those of its trading partners that have not established similar exemptions for the same preparation. For example, if it has exempted a preparation of a substance in Schedule II from controls on international trade, it must still issue an import authorization when importing the preparation from a non-exempting country and request an import authorization when exporting the preparation to such a country. Also, if the base substance of an exempted preparation is listed in Schedule II, III or IV, the exempting country must ensure that it makes no export of the preparation that contravenes a prohibition under article 13 imposed by another country upon imports of the substance.

48. Under the 1961 Convention as amended by the 1972 Protocol, the making of exemptions for preparations of controlled narcotic drugs is the prerogative of the Commission on Narcotic Drugs, which has fixed rules governing decisions concerning exemptions; any exemptions conferred apply to all States that are parties to that Convention. In contrast, under the 1971 Convention, States parties may make exemptions unilaterally, according to the procedure laid down in article 3; however, if a State party or WHO has information regarding a preparation exempted pursuant to article 3, paragraph 3, that in its opinion may require the termination, in whole or in part, of the exemption, it shall notify the Secretary-General and furnish him with the information in support of the notification. The Commission on Narcotic Drugs, taking into account the opinion of WHO, may then decide to terminate the exemption of the preparation from any or all control measures.

49. In the 1980s, the Commission discussed the need to limit the variations in controls on preparations that would result from the granting of exemptions. Supporting the international community to achieve such a limitation, the Commission recommended guidelines to be followed by States parties in making decisions on exemptions. In its resolution 1 (S-VIII) of 9 February 1984, the Commission recommended that, in addition to enforcing the minimum measures of control that, according to article 3, must be applied to exempted preparations, national authorities should take account of certain factors when considering exemptions. In the resolution, the Commission outlined the nature of those preparations that should not be exempted and requested that preparations no longer be exempted from the following measures of control:

(a) Requirement that directions for use, including cautions and warnings, be indicated on the labels of or on the leaflets accompanying retail packages (art. 10, para. 1);

(b) Prohibition of the advertisement of psychotropic substances to the general public (art. 10, para. 2);

(c) Requirements relating to international trade in psychotropic substances (art. 12).

50. Only in vitro diagnostic reagents, buffers and analytical standards containing psychotropic substances may be exempted from the provisions of articles 10 and 12 of the 1971 Convention.

## **F. Reports to the International Narcotics Control Board**

51. INCB is responsible for monitoring the implementation of the provisions of the 1971 Convention; implementation itself is the task of Governments. In order to perform its monitoring function effectively, INCB needs the close cooperation of Governments. In concrete terms, INCB accomplishes the monitoring largely by reviewing the information that Governments are required to submit to it pursuant to article 16, paragraphs 4 and 5, and the additional information provided voluntarily, in conformity with the relevant Economic and Social Council resolutions.

52. The statistical returns system is the cornerstone of the system of international control of psychotropic substances. The punctuality of the submission of reports and their comprehensiveness and reliability reflect to a large extent how Governments have implemented the provisions of the Convention and the recommendations of INCB endorsed by the Economic and Social Council in its various resolutions. Accordingly, one of the most important aspects of each Government's cooperation with INCB is the due and prompt submission of statistical information on the following:

(a) *Substances in Schedule I.* Data on quantities manufactured, on quantities exported to and imported from each country or region (together with the name of each country or region) and on stocks held by manufacturers;

(b) *Substances in Schedule II.* The same information as is required with respect to substances in Schedule I; in addition, data on quantities used in the manufacture of exempt preparations and non-psychotropic substances or products;

(c) *Substances in Schedule III.* Data on quantities manufactured and on quantities used in the manufacture of exempt preparations and non-psychotropic substances or products; data on total quantities exported and imported. On a voluntary basis, export and import data should be accompanied by the names of the reporting country's trading partners and the quantities imported from and exported to them. Data on stocks held by manufacturers may also be provided voluntarily;

(d) *Substances in Schedule IV.* Data on quantities manufactured, on quantities used for the manufacture of non-psychotropic substances or products and on total quantities exported and imported. On a voluntary basis, export and import data should be accompanied by the names of the reporting country's trading partners and the quantities imported from or exported to them. Data on stocks held by manufacturers, on quantities used for the manufacture of exempt preparations and on the use of psychotropic substances for the manufacture of other psychotropic substances may also be provided voluntarily.

53. The statistical reports are checked by INCB, which may request Governments to provide additional information in order to clarify some of the data furnished.

A summary of the statistical information received is published annually by INCB in *Psychotropic Substances: Statistics for [...]*, in a form allowing comparisons over time and from one country to another. States parties to the 1971 Convention thus have the possibility of studying the publication in order to ascertain whether obligations under the Convention have been respected.

54. To assist Governments in complying with the reporting requirements, at the beginning of each year, INCB distributes a special form (form P; see paras. 78-106) on which the required statistics are to be entered. Form P is to be completed with the data for the previous year. For example, on forms distributed by INCB in February 2003 statistical data are requested for the year 2002.

55. In addition to form P, every three months INCB distributes form A/P (see paras. 107-112) for the report of quarterly trade statistics on substances in Schedule II. On form B/P (see paras. 113-137), which is also distributed once a year, Governments are requested to update their assessments of annual medical and scientific requirements for substances in Schedules II-IV. In order not to unduly burden national administrations, assessments are viewed as valid for three years from the date of submission, unless a new assessment is received by INCB. A list of the forms showing the frequency of submission and their submission date is provided below:

<i>PSY forms</i>	<i>Name</i>	<i>Frequency of submission</i>	<i>Submission date</i>
Form P	Annual statistical report on psychotropic substances	Annually	30 June each year
Form A/P	Quarterly statistics on imports and exports of psychotropic substances listed in Schedule II of the 1971 Convention	Quarterly	End of each quarter
Form B/P	Assessment of annual medical and scientific requirements for psychotropic substances listed in Schedules II, III and IV of the 1971 Convention	At least once every 3 years	No fixed deadline
	Modification of individual assessments	As necessary	Any time

56. Detailed information on how to fill in forms P, A/P and B/P is provided in chapter II.

57. The analysis of data on international trade enables INCB to ascertain whether all exports of psychotropic substances have reached their legitimate destinations in importing countries or whether diversions into illicit channels have occurred. INCB assists Governments in monitoring their international trade, in particular by determining which companies have not complied with national or international control requirements, or both, for psychotropic substances.

## **G. Action by the International Narcotics Control Board within the international control system**

58. By examining and analysing the information that it receives from Governments, INCB is able to determine whether the 1971 Convention is being applied around the world in as effective a manner as possible. It continuously evaluates national drug control efforts, and its evaluations may lead it to recommend that certain actions be taken or to suggest that certain adjustments be made in order to improve drug control at the national or international level. INCB endeavours to facilitate and otherwise assist national initiatives aimed at increasing the effectiveness of drug control. In appropriate cases, it may recommend to the United Nations Office on Drugs and Crime (UNODC) that technical or financial assistance be given to Governments in support of their efforts to comply with their treaty obligations.

59. In discharging its functions, INCB must act in a way that is consistent with its duty to provide for a continuing dialogue between Governments and itself. It is therefore in continuous correspondence with the competent authorities of almost all countries of the world. Members of INCB carry out official missions to different countries to liaise with Governments. When appropriate, INCB, in cooperation with UNODC, renders direct assistance to Governments. Such assistance may take the form of training for national drug control administrators, provided at the INCB secretariat in Vienna, in regional seminars for officials of several countries or in seminars in countries requesting such training or facing specific problems in applying the international drug control conventions.

### **1. Additional measures to ensure application of the provisions of the 1971 Convention**

60. If necessary, INCB may make use of various means of persuading or of applying pressure pursuant to the provisions of article 19 of the 1971 Convention. If it suspects that the provisions of the 1971 Convention are not being followed by a particular country and that, as a result, the objectives of the Convention are being seriously endangered, it may request an explanation from the Government concerned. Subsequently, INCB may call upon the Government in question to adopt specific remedial measures, should it consider this step necessary. If efforts to remedy the situation by the foregoing means fail, INCB may take further action. It may call the attention of the States parties, the Commission on Narcotic Drugs and the Economic and Social Council to the matter and may, as a last resort, recommend to the States parties that they stop the import of particular psychotropic substances from the defaulting country, the export of certain substances to it, or both.

## **2. Annual report**

61. Each year, INCB publishes a report on its activities, which includes a comprehensive survey of the drug control situation throughout the world. The report deals with psychotropic substances, narcotic drugs and precursors. Acting as an impartial observer, INCB tries to identify and predict dangerous trends and situations and indicates measures that might or must be taken to defuse the dangers. In this way, the annual report serves as an important tool in the efforts of the international community to promote effective domestic and international drug control. The annual report is supplemented by detailed technical reports, one of which addresses psychotropic substances.

## **3. Annual technical publication on psychotropic substances**

62. All statistical data submitted by Governments are analysed by INCB and published on an annual basis as *Psychotropic Substances: Statistics for [...]; Assessments of Annual Medical and Scientific Requirements for Substances in Schedules II, III and IV*. Data are published for control purposes and to meet the needs of researchers, enterprises and the general public. The publication consists of several tables, grouped according to the schedules of the 1971 Convention, and includes comments on reported statistics, which facilitates the study of the statistical information on licitly manufactured psychotropic substances.

## II. Guidelines for the preparation of reports to the International Narcotics Control Board

### A. List of psychotropic substances under international control: the “Green List”

63. A list of psychotropic substances under international control, known as the “Green List”, is published annually by INCB to assist government officials, in particular those in drug control administrations and customs, in the execution of control functions required by the 1971 Convention. It contains background information for the completion of the annual statistical report on psychotropic substances (form P) to be submitted to INCB in accordance with article 16 of the 1971 Convention, the quarterly statistics on imports and exports of substances in Schedule II of the 1971 Convention (form A/P) and the assessment of annual medical and scientific requirements for substances in Schedules II, III and IV of the 1971 Convention (form B/P), as requested by the Economic and Social Council in its resolutions 1576 (L) and 1981/7.

64. The Green List is divided into four parts and is updated as necessary to include decisions of the Commission on Narcotic Drugs and any new related data made available to INCB.

#### 1. Part one. Substances in Schedules I, II, III and IV of the Convention on Psychotropic Substances of 1971

65. Part one of the Green List lists all the substances included in Schedules I, II, III and IV of the 1971 Convention. Each substance is indicated by its international non-proprietary name (INN), as established by WHO, or its other non-proprietary or trivial names, as well as by a chemical name. The INN or, if it is not available, a non-proprietary or trivial name published in the Green List should be used at all times:

(a) In import and export authorizations (see the 1971 Convention, art. 12, para. 1 (b)) and in export declarations (art. 12, para. 2 (a));

(b) In notifications to the Secretary-General (arts. 2, 3 and 13) and in all reports to and communications with INCB (art. 16).

66. More detailed information on the names and the chemical and structural formulae of the controlled substances can be found in the *Multilingual Dictionary of Narcotic Drugs and Psychotropic Substances under International Control*.<sup>6</sup>

67. The Green List provides interpretation guidelines concerning the stereoisomers of substances in Schedules II, III and IV of the 1971 Convention. With respect to the control of the stereochemical variants of the psychotropic substances listed in Schedules II, III and IV of the 1971 Convention, the following criteria should apply: (a) if the chemical designation of a specific enantiomer is not indicated or only the racemic form of the substance is listed, both the *R*- and *S*-enantiomers and the *RS*-racemate are controlled, unless specifically excepted by a decision of the Commission on Narcotic Drugs; and (b) if a specific enantiomer is indicated, the

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<sup>6</sup> ST/NAR/1/Rev.1 and Add.1.

racemic form of the substance is also controlled, unless specifically excepted by a decision of the Commission, while the other enantiomer is not controlled. When one enantiomer is controlled, then a mixture of that enantiomer with the other enantiomeric substance is controlled. In the case of substances whose molecule contains more than one chiral centre, all the diastereoisomers and their racemic pairs are controlled, unless specifically excepted by a decision of the Commission. When a specific diastereoisomer is indicated, only that diastereoisomer is controlled.

68. When available, the Chemical Abstracts Service (CAS) registry numbers for substances in Schedules II, III and IV are included in the list. Those numbers facilitate the rapid identification of the substances and are very useful for law enforcement agencies and customs officers.

**2. Part two. Names, synonyms and trade names of psychotropic substances, their salts and preparations containing psychotropic substances under international control**

69. Part two of the Green List contains, in alphabetical order, the names, synonyms and trade names of the psychotropic substances listed in Schedules I, II and III, as well as their salts and the brand names of preparations that contain those substances. For technical reasons, such information is not provided for substances in Schedule IV.

70. The list, which is amended periodically to reflect new information, is not exhaustive. Although the name of a preparation containing a psychotropic substance may not be mentioned in the Green List, that preparation may nevertheless be under international control. Governments are invited to draw the attention of INCB to data not appearing in the Green List. Preparations containing psychotropic substances under international control may have the same name, but different compositions in different countries. In such cases, reference should be made to the composition as indicated on the product label and the name of the substance in question should always be checked against its chemical designation or formula.

71. In part two of the Green List, for each name, synonym and trade name, a reference is made to the corresponding INN or other non-proprietary or trivial names.

**3. Part three. Pure drug content of bases and salts of psychotropic substances under international control**

72. Part three of the Green List contains a table showing the pure anhydrous drug content of bases and salts of psychotropic substances under international control. All documents such as import and export authorizations and transport documents, as well as reports such as forms P, A/P and B/P, should indicate the quantity by weight of the pure anhydrous base of each psychotropic substance, excluding the weight of any non-psychotropic that may be compounded with it. The percentage indicated for each base or salt is approximate and may differ slightly from the actual percentage. However, in order to make the statistics, reports and documents universally comparable, those figures should always be used. For any base or salt for which no approximate percentage of anhydrous base content is indicated, the information can be obtained from the manufacturer, and INCB should be advised accordingly.

*Conversion into pure anhydrous base*

**Example 1**

A country imports 2,000 grams (g) of metamfetamine hydrochloride and 2,000 g of metamfetamine bitartrate. The approximate anhydrous base contents (conversion factor) indicated in the Green List are 80 and 50 per cent respectively, quantities that correspond to 1,600 g and 1,000 g of pure anhydrous base, so 2,600 g should be reported as imported in the appropriate columns of forms P and A/P, as shown below:

<i>Substance in salt form</i>	<i>Conversion into anhydrous base</i>	<i>Imports to be reported</i>
Metamfetamine hydrochloride	Metamfetamine base	Metamfetamine
2 000 grams	$2\ 000 \times 0.80$	1 600 grams
Metamfetamine bitartrate	Metamfetamine base	Metamfetamine
2 000 grams	$2\ 000 \times 0.50$	1 000 grams

Total quantity to be reported: metamfetamine; 2,600 g.

**Example 2**

In the case of preparations containing two or more psychotropic substances, the quantity of each of the component psychotropic substances should be mentioned in documents and reports. For example, a country imports 18 kilograms (kg) of Binocetal®. Each tablet of this preparation contains 50 milligrams (mg) of amobarbital sodium (42 per cent) and 70 mg of secobarbital sodium (58 per cent). Eighteen kg of the preparation Binocetal® therefore contains  $18\text{ kg} \times 0.42 = 7.56\text{ kg}$  of amobarbital sodium, corresponding to 6.87 kg of pure base substance (91 per cent) and  $18\text{ kg} \times 0.58 = 10.44\text{ kg}$  of secobarbital sodium, corresponding to 9,604 g of pure base substance (92 per cent). Seven kg (rounded to the nearest kilogram) of amobarbital (listed under Schedule IV) and 9,604 g (expressed in grams) of secobarbital (listed under Schedule II) should be reported as imports in form P, as follows:

<i>Substance in salt form in the pharmaceutical preparation Binocetal</i>	<i>Percentage of the substance in the preparation</i>	<i>Conversion into anhydrous base</i>	<i>Quantity to be reported</i>
Amobarbital sodium	Amobarbital sodium	Amobarbital base	Amobarbital
18 kg	$18 \times 0.42 = 7.56\text{ kg}$	$7.56\text{ kg} \times 0.91 = 6.87\text{ kg}$	7 kg
Secobarbital sodium	Secobarbital sodium	Secobarbital base	Secobarbital
18 kg	$18 \times 0.58 = 10.44\text{ kg}$	$10.44 \times 0.92 = 9.604\text{ kg}$	9 604 grams

The last column shows the figure to be reported, in this case, for each substance under “Imports”.

**4. Part four. Prohibition of and restrictions on export and import pursuant to article 13 of the Convention on Psychotropic Substances of 1971, by prohibited substance**

73. Part four of the Green List refers to the prohibitions of and restrictions on export and import pursuant to article 13 of the 1971 Convention.

74. Part four lists alphabetically all the notifying countries, followed by the prohibited substances and dates of notifications by the Secretary-General. It also lists alphabetically all the prohibited substances, together with the names of the notifying countries.

75. The prohibitions are effective, with respect to exporting countries, as at the date of receipt of the Secretary-General's notification.

**B. How to compile reports to the International Narcotics Control Board**

76. When completing INCB statistical reports (forms P, A/P and B/P), the following general guidelines should be observed:

(a) With regard to the psychotropic substances listed in Schedules I and II, the quantities should be reported in grams; fractions of grams should be rounded to the nearest gram. For substances listed in Schedules III and IV, quantities should be reported only in kilograms; fractions of kilograms should be rounded to the nearest kilogram. In order to avoid misinterpretation, reported fractions of a gram for substances in Schedule I or II and fractions of a kilogram for substances in Schedule III or IV will not be recorded in the INCB database;

**Example 1:** Import of 2 kg and 350 g of methylphenidate (Schedule II): the figure to be reported is 2,350 g.

**Example 2:** Import of 851 g and 500 mg of methylphenidate: the figure to be reported is 852 g.

**Example 3:** Import of 2 kg and 690 g of amfepramone (Schedule IV): in this case the figure 3 kg (rounded up) should be entered in the appropriate column for import of amfepramone.

**Example 4:** Import of 1 kg and 100 g of triazolam (Schedule IV): in this case the figure to be reported is 1 kg.

(b) As indicated in paragraph 72, all statistical data entered on forms P, A/P and B/P should represent the weight of the pure anhydrous base of each psychotropic substance, excluding the weight of any non-psychotropic substance that may be combined or mixed with it. Part three of the Green List contains, for bases and salts, the pure anhydrous base equivalent;

(c) In the case of preparations containing two or more psychotropic substances, the quantities of each of the component psychotropic substances should be reported by its weight of pure anhydrous base;

(d) The actual quantity of a psychotropic substance contained in an ampoule is generally greater than the ampoule's nominal content; the statistics should take

into account the nominal (labelled) quantity of the psychotropic substance contained in the ampoule and not the ampoule's actual content.

77. Individual guidelines referring to each of the forms P, A/P and B/P are provided below. Attention is drawn in particular to cases of frequent mistakes and misunderstandings in government reports.

## C. Annual statistical report on substances listed in the Convention on Psychotropic Substances of 1971 (form P)

### 1. Description of data required

78. Form P should be sent to INCB as soon as possible and no later than 30 June of the year following the year to which the relevant statistics relate. The instructions for filling in the form are given on pages 2 to 4. On page 1, the name of the country or territory providing the report, the date of the report, the name of the competent office and the title or function of the person signing the report, as well as his or her name and signature, must be provided. The calendar year to which the statistics relate must also be stated. In the space provided on page 1 for "remarks", the reporting authority can communicate to INCB any information facilitating the proper understanding of the reported statistics. Such information may, for example, refer to a substance that was put under international control only during the year to which the report relates, in which case the reporting authority may wish to inform INCB that statistics relating to that substance cover only the period following the date on which the inclusion of the substance in the specific schedule of the 1971 Convention became fully effective (see art. 2 of the 1971 Convention) and not the whole calendar year.

### 2. Part one. Statistical data on the manufacture, utilization, stocks, imports and exports of substances in Schedules I, II, III and IV of the 1971 Convention and/or their salts

79. On pages 5 to 9 of the report, all the psychotropic substances are listed schedule by schedule in column 1. Substances are indicated by their INNs and/or their other non-proprietary or trivial names as indicated in the relevant edition of the Green List. Columns 2 to 8 on each page should be filled in with the data required under each column heading in form P, as shown below:

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychotropic substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3</i>	<i>Manufacturers' stocks as at 31 December</i>	<i>Total imports (these quantities must be detailed by country or region of origin in section V)</i>	<i>Total exports (these quantities must be detailed by country or region of destination in section VI)</i>	<i>Quantity consumed (voluntary)</i>

The data requested in column 4 are voluntary for substances listed in Schedule IV. The data requested in column 5 are voluntary for substances listed in Schedule III or Schedule IV. The data requested in column 8 are voluntary for all substances.

### Column 1: Substance

80. The psychotropic substances currently under international control are listed in the Green List by schedule and by INN. Also under international control are the salts of the psychotropic substances whenever the existence of such salts is possible. However, the substances should be indicated in anhydrous base form.

### Column 2: Quantity manufactured

81. Information on the total quantity that has been manufactured domestically from 1 January to 31 December of a given year must be provided for the substances in all schedules of the 1971 Convention. The quantity should be expressed in grams in the case of substances in Schedules I and II and in kilograms in the case of substances in Schedules III and IV.

82. A common error in reports is the reporting of data on manufactured quantities that have been used for the manufacture of preparations containing psychotropic substances and/or on quantities that have been either tableted or processed into other pharmaceutical dosage forms.

(a) To avoid these quantities being counted twice, they should not be included in the figure for manufacture, since they will already have been reported at the stage of their bulk manufacture in the reporting country itself or in the country from which the psychotropic substance in bulk form was imported by the reporting country. In this case, only the manufacture of the substance in bulk form and/or the salt (that is, the quantity of its pure anhydrous base content) should be reported.

**Example:** During a given year, country A manufactures 100 kg of phenobarbital sodium, uses 40 kg to manufacture preparations (for example, tablets containing 100 mg each of phenobarbital sodium) and exports 60 kg in bulk form to country B. Country B uses the 60 kg imported from country A to manufacture preparations for injections and for tablets.

The conversion factor for phenobarbital sodium into anhydrous base substance is 91 per cent.

#### Calculations for country A

<i>Quantity of the substance in salt form</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Exports to be reported</i>
Phenobarbital sodium	Phenobarbital base	Phenobarbital	Phenobarbital
100 kg	$100 \times 0.91 = 91$	91 kg	
60 kg	$60 \times 0.91 = 54$		54 kg

Country A should report on form P:

**IV. Statistical data on substances in Schedule IV  
and/or their salts  
(Kilograms)**

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Phenobarbital	91					54	

**Calculations for country B**

<i>Quantity of the substance in salt form</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Imports to be reported</i>
Phenobarbital sodium	Phenobarbital base	Phenobarbital	Phenobarbital
60 kg	$60 \times 0.91 = 54$		54 kg

Country B should report on form P:

**IV. Statistical data on substances in Schedule IV  
and/or their salts  
(Kilograms)**

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Phenobarbital					54		

(b) However, in the case of a continuous manufacturing process that does not go through the intermediate stage of the manufacture of psychotropic substances in bulk form, but leads directly to the final preparations containing psychotropic substances, the reporting of data on quantities manufactured should include the quantities of the psychotropic substances contained in the manufactured preparations.

**Note:** If any quantity of phenobarbital imported by country B is used for domestic consumption, i.e., the quantity supplied by a manufacturer or wholesaler to any person or enterprise (pharmacist, hospitals, etc.) for retail distribution, medical use or scientific research, then country B is encouraged

to report the quantity in column 8 (see paras. 97-98 below for further explanations).

**Example:** During a given year, country A does not manufacture phenobarbital in bulk form. It has not imported phenobarbital in bulk form and has no stocks of phenobarbital. Instead, it manufactures 100,000 tablets of preparations containing phenobarbital base (for example, each tablet containing 100 mg of phenobarbital base) from non-psychotropic starting material.

#### Calculations for country A

<i>Quantity of the preparations containing phenobarbital base</i>	<i>Quantity of phenobarbital contained in the preparations</i>	<i>Quantity of manufactured phenobarbital to be reported</i>	<i>Exports to be reported</i>
100 000 tablets	$100\ 000 \times 0.1\ \text{g} = 10\ 000\ \text{g}$	$10\ 000\ \text{g} = 10\ \text{kg}$	

Country A should report on form P:

#### IV. Statistical data on substances in Schedule IV and/or their salts (Kilograms)

<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>	<i>8</i>
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychotropic substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Phenobarbital	10						

#### Column 3: Quantity used for the manufacture of non-psychotropic substances or products (Schedules II, III and IV only)

83. In accordance with article 4, paragraph (b), of the 1971 Convention, for each psychotropic substance listed in Schedules II, III and IV, the quantity utilized for the manufacture of non-psychotropic substances or products should be indicated. This quantity should include the total amount placed in the manufacturing process during the year to which the statistics refer, even if the manufacturing process was not completed by the end of that year. Since substances in Schedule I should not be used for the manufacture of non-psychotropic substances or products (see arts. 4 and 7 of the 1971 Convention), column 3 of form P should not be used for substances in Schedule I, except under exceptional circumstances.

**Note:** A common error is the reporting of the use of a psychotropic substance in the manufacture of products that do not constitute a new substance, but are, in fact, a preparation containing the psychotropic substance in question (for example, tablets). These preparations should be subject to the same measures of control, including reporting, as the psychotropic substances

themselves, unless the preparations were exempted in conformity with the provisions of article 3 of the 1971 Convention.

84. The difference between non-psychotropic substances or products and preparations is made clear by the following definition of “preparation” provided in article 1, paragraph (e), of the 1971 Convention:

(a) Any solution or mixture, in whatever physical state, containing one or more psychotropic substances; or

(b) One or more psychotropic substances in dosage form. “Dosage form” means, for example, a tablet, capsule, ampoule or powder, ready for consumption by, or administration to, a patient or animal.

85. The utilization of psychotropic substances in the manufacture of non-psychotropic substances or products means that the psychotropic substances are used for the making of products:

(a) That are chemically entirely different and not controlled under the 1971 Convention; or

(b) That contain psychotropic substances, but these are made harmless by denaturing or other means and are in practice not recoverable.

**Example:** In a given year, country A manufactures 20 kg of metamfetamine hydrochloride, of which it exports 5 kg in bulk form and converts 10 kg into famprofazon (a non-psychotropic substance), which is then exported. It uses 5 kg of the manufactured metamfetamine hydrochloride for the manufacture of metamfetamine hydrochloride tablets, of which 30 per cent are exported.

The conversion factor for metamfetamine hydrochloride into anhydrous base substance is 80 per cent.

#### Calculations for country A

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Quantity used for the manufacture of non-psychotropic substances to be reported</i>	<i>Exports to be reported</i>
Metamfetamine hydrochloride	Metamfetamine base	Metamfetamine	Metamfetamine	Metamfetamine
20 kg	$20 \times 0.80 = 16$	16 000 grams		
10 kg	$10 \times 0.80 = 8$		8 000 grams	
5 kg	$5 \times 0.80 = 4$			4 000 grams
$5 \times 0.30 = 1.5$ kg	$1.5 \times 0.80 = 1.2$			1 200 grams

The total of exports to be reported is 5,200 g. This figure represents 4,000 g exported in bulk form and 1,200 g exported in the form of preparations.

Country A should report on form P:

**II. Statistical data on substances in Schedule II and/or their salts**  
(Grams)

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Metamfetamine	16 000	8 000				5 200	

Information on exports of non-psychoactive substances need not be reported. Governments are encouraged to report any quantity of metamfetamine held as manufacturers' stocks and used for domestic consumption, if applicable (see paras. 88-90 and 97-98 below for further explanations).

**Column 4: Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (Schedules II-IV)**

86. For each psychoactive substance listed in Schedules II and III, article 16, paragraph 4 (c), of the 1971 Convention requires the indication of the total quantity utilized for the manufacture of preparations exempted from certain measures of control (permitted under art. 3, paras. 2 and 3 of the 1971 Convention). Governments may also voluntarily report such data pertaining to Schedule IV substances. The quantities reported should be expressed in grams with respect to substances in Schedule II and for substances in Schedules III and IV in kilograms. These quantities should include the total amount placed in the process of manufacture during the year to which the statistics relate, even if the manufacturing process was not completed by the end of that year.

87. Preparations containing substances in Schedule I may not be exempted from certain control measures (art. 3, para. 2, of the 1971 Convention). Therefore, column 4 of form P is not used for substances in Schedule I.

**Example:** In a given year, country A manufactures 200 kg of clorazepate monopotassium and imports 500 kg of clorazepate dipotassium, all 700 kg of which is used for the manufacture of clorazepate preparations. Some of these preparations, tablets containing 80 kg of clorazepate dipotassium, are exempted from certain control measures under article 3, paragraphs 2 and 3, and the Secretary-General of the United Nations is notified accordingly.

The conversion factor for clorazepate monopotassium is 90 per cent and for clorazepate dipotassium is 81 per cent, both into clorazepate anhydrous base substance.

### Calculations for country A

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3, to be reported</i>	<i>Imports to be reported</i>
Clorazepate monopotassium	Clorazepate base	Clorazepate		
200 kg	$200 \times 0.90 = 180$	180 kg		
Clorazepate dipotassium	Clorazepate base		Clorazepate	Clorazepate
500 kg	$500 \times 0.81 = 405$			405 kg
80 kg	$80 \times 0.81 = 64$		64 kg	

Country A should report on form P:

### IV. Statistical data on substances in Schedule IV and/or their salts (Kilograms)

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Clorazepate	180		64		405		

In such a case, Governments are encouraged to report any quantity of clorazepate (both in salt form and in preparations) held as manufacturers' stocks, and the quantity consumed, if applicable (see paras. 88-90 and 97-98 below for further explanations).

#### Column 5: Manufacturers' stocks as at 31 December

88. For each of the psychotropic substances listed in Schedules I and II, the quantity held in stock by manufacturers on 31 December of the year to which the statistics relate should be reported (in grams). Governments may also wish to communicate, on a voluntary basis, manufacturers' stocks of substances in Schedules III and IV (in kilograms).

89. Reports should include the quantities held in stock by manufacturers of psychotropic substances in bulk form, by manufacturers of preparations containing psychotropic substances, by manufacturers of non-psychoactive substances and by companies involved in any processing or packaging of the substances or preparations.

90. Governments need not include in their stock reports information on quantities held by State enterprises that manufactured them “for special purposes”, that is, for special government purposes, such as military purposes, and to meet exceptional circumstances (such as major earthquakes or large-scale epidemics).

**Note:** Quantities held in stocks by wholesale traders and other wholesale distributors, as well as those held by retailers, should not be included.

**Example:** In a given year, company M in country A manufactures 200 kg of chlordiazepoxide hydrochloride. Half is sold to company N, which keeps 10 kg in stock and uses the remainder (90 kg) for the manufacture of preparations. A quantity of these preparations containing 70 kg of chlordiazepoxide hydrochloride is sold to a trading company, T, which then sells preparations containing 60 kg of chlordiazepoxide hydrochloride to hospitals and pharmacies and leaves in its own stock preparations containing 10 kg of chlordiazepoxide hydrochloride. Only 90 per cent of preparations containing chlordiazepoxide hydrochloride have actually been distributed in hospitals and through pharmacies to patients by the end of the given year. No chlordiazepoxide was in stock in country A as at the beginning of the year in question.

The conversion factor for chlordiazepoxide hydrochloride into anhydrous base substance is 90 per cent.

#### Calculations for company M of country A

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Stocks to be reported</i>
Chlordiazepoxide hydrochloride	Chlordiazepoxide base	Chlordiazepoxide	Chlordiazepoxide
200 kg	$200 \times 0.90 = 180$	180 kg	
100 kg	$100 \times 0.90 = 90$		90 kg

#### Calculations for company N of country A

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Stocks to be reported</i>
Chlordiazepoxide hydrochloride	Chlordiazepoxide base	Chlordiazepoxide	Chlordiazepoxide
10 kg	$10 \times 0.90 = 9$		9 kg
20 kg (90-70)	$20 \times 0.90 = 18$		18 kg

### Calculations for country A

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Stocks to be reported</i>
Chlordiazepoxide hydrochloride	Chlordiazepoxide base	Chlordiazepoxide	Chlordiazepoxide
200 kg	$200 \times 0.90 = 180$	180 kg	
130 kg (100 + 10 + 20)	$130 \times 0.90 = 117$		117 kg

The total of stocks as at 31 December to be reported is 117 kg. This figure represents the following calculation:

90 kg: stocks in bulk form held by company M ( $100 \times 0.90$ )

9 kg: stocks in bulk form held by company N ( $10 \times 0.90$ )

18 kg: stocks in the form of preparations held by company N ( $20 \times 0.90$ )

Country A should report on form P:

### IV. Statistical data on substances in Schedule IV and/or their salts (Kilograms)

<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>	<i>8</i>
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Chlordiazepoxide	180			117			

Data on stocks at the wholesale and retail levels should not be included in the report.

#### Column 6: Total imports; and column 7: Total exports

91. In columns 6 and 7, the total quantity of each psychotropic substance listed in Schedules I, II, III and IV imported or exported during the calendar year should be recorded. Statistics should be based, as far as possible, on actual movements across borders.

92. The term "import", as used in the 1971 Convention, is intended to include, as far as possible, the entrance of goods from abroad into a bonded warehouse, free port or free zone; similarly, the term "export" is intended to include the dispatch of goods abroad from a bonded warehouse, free port or free zone, although such transactions may not be treated by the national customs laws as imports and exports. However, care should be taken to ensure that goods passing through customs from a bonded warehouse, free port or free zone into the country or region itself are not recorded as imports, and that goods transferred from the country or region itself into

a bonded warehouse, free port or free zone situated in the country or region are not recorded as exports.

93. However, if a consignment passes in transit through a country or region to another country, it should not be considered by the country or region through which it passes as an import and subsequent export, even if the consignment is placed temporarily in a bonded warehouse, free port or free zone.

94. Goods returned by a country or region for any reason whatsoever to the original exporting country or region shall be entered as an export by the former and as an import by the latter.

**Note:** Governments should not report the quantities indicated in the respective authorization, but the quantities actually imported and exported, which may be substantially less than those authorized.

95. The date on which the import or export was actually effected should be taken into account and not the date of issue of the respective authorization or declaration. In order to be aware of the actual dates and quantities of each import or export transaction, the authorities in charge of drug control administration and reporting to INCB must cooperate closely with customs authorities.

96. If, for example, an export authorization issued on 15 November 2000 is valid for a period of three months, a quantity in question should be included in the report for 2000 only if the psychotropic substance has been exported prior to 31 December 2000. Any export effected after that date should be accounted for in the annual statistical report for the following year. According to article 1, paragraph (h), of the 1971 Convention “export” and “import” mean, in their respective connotations, the physical transfer of a psychotropic substance from one State to another State.

**Example:** In a given year, country A manufactures 2,000 kg of barbital magnesium, converts 600 kg into non-psychotropic substances, of which 50 per cent are exported to country B, and uses the remaining barbital magnesium (1,400 kg) for the manufacture of preparations. Preparations containing 400 kg of barbital magnesium remain in the stock of their manufacturer, whereas preparations containing 1,000 kg of barbital magnesium are exported to country B in three consignments. The first consignment of 500 kg barbital magnesium in preparations is exported on 15 May (imported into country B on 18 May), the second consignment of 300 kg of barbital magnesium in preparations is exported on 23 September (imported into country B on 26 September) and the third consignment of 200 kg of barbital magnesium is exported on 30 December (imported into country B on 2 January the following year). As a result of unsatisfactory quality, the second consignment is returned to country A two weeks after exportation and remains in stock with the trading company.

The conversion factor for barbital magnesium into anhydrous base substance is 94 per cent.

### Calculations for country A

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Quantity manufactured to be reported</i>	<i>Quantity used for the manufacture of non-psychoactive substances to be reported</i>	<i>Stocks to be reported</i>	<i>Imports to be reported</i>	<i>Exports to be reported</i>
Barbital magnesium	Barbital base	Barbital	Barbital	Barbital	Barbital	Barbital
2 000 kg	$2\ 000 \times 0.94 = 1\ 880$	1 880 kg				
600 kg	$600 \times 0.94 = 564$		564 kg			
400 kg	$400 \times 0.94 = 376$			376 kg		
1 000 kg	$1\ 000 \times 0.94 = 940$					940 kg
300 kg (returned from country B)	$300 \times 0.94 = 282$				282 kg	

Country A should report on form P:

### IV. Statistical data on substances in Schedule IV and/or their salts (Kilograms)

<i>1</i>	<i>2</i>	<i>3</i>	<i>4</i>	<i>5</i>	<i>6</i>	<i>7</i>	<i>8</i>
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Barbital	1 880	564		376	282	940	

### Calculations for country B

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Imports to be reported</i>	<i>Exports to be reported</i>
Barbital magnesium	Barbital base	Barbital	Barbital
800 kg (500 + 300)	$800 \text{ kg} \times 0.94 = 752$	752 kg	
300 kg (returned to country A)	$300 \text{ kg} \times 0.94 = 282$		282 kg

The quantity of 188 kg ( $200 \times 0.94$ ) of the third consignment will be included in the report for the following calendar year.

Country B should report on form P:

**IV. Statistical data on substances in Schedule IV and/or their salts**  
(Kilograms)

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Barbital					752	282	

The remaining information need not be reported.

**Column 8: Consumption**

97. The data in column 8 are requested on a voluntary basis pursuant to resolutions 53/4 and 54/6 of the Commission on Narcotic Drugs. The Board strongly encourages Governments to provide it with data on the consumption of psychotropic substances so that the Board will be able to analyse trends in the consumption of psychotropic substances and, ultimately, to promote the adequate availability of psychotropic substances used for medical and scientific purposes while preventing the diversion and abuse of those substances.

98. For each substances listed in Schedules I to IV, the reporting authority should indicate (in grams or kilograms, as applicable) the quantity consumed during the year in question, i.e., the quantity supplied by a manufacturer or wholesaler to any person or enterprise (pharmacists, hospitals, etc.) for retail distribution, medical use or scientific research. Below is a succinct explanation of what consumption means in different distribution circuits.

*Category I: countries where retailers obtain their supplies solely from abroad*

In this case, all quantities imported should be regarded as consumed.

*Category II: countries where retailers obtain their supplies solely from local manufacturers or wholesalers*

In this case, quantities consumed refer to those quantities distributed by the manufacturers or wholesalers to the retailers.

*Category III: countries where the retailers obtain their supplies mainly from local manufacturers or wholesalers, but where some retailers import psychotropic substances directly*

In this case, quantities consumed refer to those quantities of psychotropic substances distributed by manufacturers or wholesalers to the retailers, plus the quantities imported directly by retailers.

**Example:** During a given year, country A manufactures 100 kg of phenobarbital base, of which 40 kg are used to manufacture preparations and 60 kg are exported to country B. All preparations manufactured in country A are delivered to State pharmacies. Of the 60 kg imported from country A, country B uses 30 kg to manufacture preparations that are distributed to public hospitals.

Country A should report in column 8 on form P:

**IV. Statistical data on substances in Schedule IV and/or their salts**  
(Kilograms)

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Phenobarbital							40

Country B should report in column 8 on form P:

**IV. Statistical data on substances in Schedule IV and/or their salts**  
(Kilograms)

1	2	3	4	5	6	7	8
<i>Substance</i>	<i>Quantity manufactured</i>	<i>Quantity used for the manufacture of non-psychoactive substances or products</i>	<i>Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3 (voluntary)</i>	<i>Manufacturers' stocks as at 31 December (voluntary)</i>	<i>Total imports</i>	<i>Total exports</i>	<i>Quantity consumed (voluntary)</i>
Phenobarbital							30

**3. Part two. Trade details: statistical data on imports and exports of substances in Schedules I to IV of the 1971 Convention**

99. On pages 10 to 15 of form P, details of trade in psychotropic substances should be entered. If necessary, additional sheets should be added by the competent national authority to report the required data.

100. Importing countries should indicate on page 10, for each of the substances listed in Schedules I and II, the names of the countries from which the substances were imported and the quantity imported from each country, expressed in grams. In the same way, exporting countries should indicate on page 11, for each of the substances listed in Schedules I and II, the names of the countries to which the substances were exported and the quantity exported to each country, expressed in grams.

101. Governments are also requested to report voluntarily the details of trade in psychotropic substances in Schedules III and IV (expressed in kilograms). It is important to note that submission of such information has been recommended by the Economic and Social Council to facilitate the monitoring of international trade by INCB with a view to preventing diversion.

**Example:** Country A imports 200 kg of diazepam in bulk form from country B in order to manufacture finished pharmaceutical products (tablets of 5 mg each), of which 50 kg are re-exported in the form of preparations to country C. In the same year, country A imports 100 kg of diazepam as finished pharmaceutical products from country D and country B exports 50,000 boxes of 1,000 tablets (5 mg each) of diazepam to country C.

**Calculations for country A**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Diazepam	200 kg	Country B		300 kg	
Diazepam	50 kg		Country C		50 kg
Diazepam	100 kg	Country D			

**Calculations for country B**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Diazepam	200 kg		Country A		450 kg
Diazepam	250 kg		Country C		

**Calculations for country C**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Diazepam	50 kg	Country A		300 kg	
Diazepam	250 kg	Country B			

**Calculations for country D**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Diazepam	100 kg		Country A		100 kg

Country A should report on form P:

**VII. Trade details: import of substances in Schedules III and IV,  
by country or region of origin**  
(Kilograms)

Specify substance →	Diazepam				
Total →	300				
Imported from: Quantities →					
Country or region ↓					
Country B	200				
Country D	100				

**VIII. Trade details: export of substances in Schedules III and IV,  
by country or region of destination**  
(Kilograms)

Specify substance →	Diazepam				
Total →	50				
Exported to: Quantities →					
Country or region ↓					
Country C	50				

Country B should report on form P:

**VIII. Trade details: export of substances in Schedules III and IV,  
by country or region of destination**  
(Kilograms)

Specify substance →	Diazepam				
Total →	450				
Exported to: Quantities →					
Country or region ↓					
Country A	200				
Country C	250				

Country C should report on form P:

**VII. Trade details: import of substances in Schedules III and IV,  
by country or region of origin**  
(Kilograms)

Specify substance →	Diazepam				
Total →	300				
Imported from: Quantities →					
Country or region ↓					
Country A	50				
Country B	250				

Country D should report on form P:

**VIII. Trade details: export of substances in Schedules III and IV,  
by country or region of destination**  
(Kilograms)

Specify substance →	Diazepam				
Total →	100				
Exported to: Quantities →					
Country or region ↓					
Country A	100				

102. The term “exporting country” should be understood to mean the country from which the consignment with the controlled substance was dispatched and in which the export authorization was issued, if one was required. It is not necessarily the country in which the substance was manufactured or in which the selling company is located. Similarly, the term “importing country” should be understood to mean the country to which the substance was dispatched and in which the import authorization was issued, if one was required. It is not necessarily the final destination of the consignment.

**Special case: transit shipments**

103. If it is decided to change the destination of a shipment of psychotropic substances while the consignment is in transit, for statistical purposes the shipment should be considered an export by the country or region from which it was dispatched and by the country or region of transit from which it was diverted, as well as an import of the country or region of transit and of the country or region of new destination.

**Example:** Company X in country A dispatches 100 kg of amphetamine through country B to company Z in country C. When the consignment arrives at the free port in country B, company X requests company Y in country B to intervene in order to send the consignment to country D.

**Calculations for country A**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Amfetamine	100 000 g		Country B		100 000 g

**Calculations for country B**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Amfetamine	100 kg	Country A	Country D	100 000 g	100 000 g

**Calculations for country C**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Amfetamine					

**Calculations for country D**

<i>Substance</i>	<i>Quantity</i>	<i>Imported from</i>	<i>Exported to</i>	<i>Total imports</i>	<i>Total exports</i>
Amfetamine	100 000 g	Country B		100 000 g	

Country A should report on form P:

**VI. Trade details: export of substances in Schedules I and II,  
by country or region of destination  
(Grams)**

Specify substance →	Amfetamine				
Total →	100 000				
Exported to:					
Quantities →					
Country or region ↓					
Country B	100 000				

Country B should report on form P:

**V. Trade details: import of substances in Schedules I and II,  
by country or region of origin  
(Grams)**

Specify substance →	Amfetamine				
Total →	100 000				
Imported from:					
Quantities →					
Country or region ↓					
Country A	100 000				

**VI. Trade details: export of substances in Schedules I and II,  
by country or region of destination**  
(Grams)

Specify substance	→	Amfetamine				
Total	→	100 000				
Exported to:						
Quantities	→					
Country or region	↓					
Country D		100 000				

Country C has nothing to report.

Country D should report on form P:

**V. Trade details: import of substances in Schedules I and II,  
by country or region of origin**  
(Grams)

Specify substance	→	Amfetamine				
Total	→	100 000				
Imported from:						
Quantities	→					
Country or region	↓					
Country B		100 000				

**Note:** At each step of such transaction the appropriate import or export authorizations have to be issued by the competent authorities if so required by the Convention and/or the respective national legislation.

**Special cases: bonded warehouses, free ports and free zones**

104. Imports from bonded warehouses, free ports and free zones are frequently erroneously reported as imports from countries in which the psychotropic substances (or preparations containing psychotropic substances) were originally manufactured. A bonded warehouse, free zone or free port is to be considered part of the territory of the State or region in which it is situated.

**Example:** During a certain year, country A imported from manufacturer M in country B tablets containing a total of 2 kg of methylphenidate hydrochloride. In addition, tablets containing a total of 1 kg of methylphenidate hydrochloride were imported into country A from stocks of trading company T, a subsidiary of manufacturer M in a free zone in country C. The tablets were part of a consignment of tablets containing a total of 4 kg of methylphenidate hydrochloride produced by manufacturer M during the given year and then transferred to trading company T for sale in the region.

The conversion factor for methylphenidate hydrochloride into anhydrous base substance is 87 per cent.

**Calculations for country A (the importing country)**

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Imports to be reported</i>
Methylphenidate hydrochloride	Methylphenidate base	Methylphenidate
2 kg	$2 \times 0.87 = 1.740$	1 740 g from country B
1 kg	$1 \times 0.87 = 0.870$	870 g from country C

Country A should report on form P:

**V. Trade details: import of substances in Schedules I and II, by country or region of origin (Grams)**

Specify substance →	Methylphenidate				
Total →	2 610				
Imported from:					
Quantities →					
Country or region ↓					
Country B	1 740				
Country C	870				

Total imports to be reported: 2,610 grams (1,740 + 870)

**Calculations for country B (the manufacturing country)**

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Exports to be reported</i>
Methylphenidate hydrochloride	Methylphenidate base	Methylphenidate
2 kg	$2 \times 0.87 = 1.740$	1 740 g to country A
4 kg	$4 \times 0.87 = 3.480$	3 480 g to country C

Country B should report on form P:

**VI. Trade details: export of substances in Schedules I and II, by country or region of destination (Grams)**

Specify substance →	Methylphenidate				
Total →	5 220				
Exported to:					
Quantities →					
Country or region ↓					
Country A	1 740				
Country C	3 480				

Total imports to be reported: 5,220 grams (1,740 + 3,480)

**Calculations for country C (the country in which the trading company is situated)**

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Imports to be reported</i>	<i>Exports to be reported</i>
Methylphenidate hydrochloride	Methylphenidate base	Methylphenidate	Methylphenidate
4 kg	$4 \times 0.87 = 3.480$	3 480 g from country B	
1 kg	$1 \times 0.87 = 0.870$		870 g to country A

Country C should report on form P:

**V. Trade details: import of substances in Schedules I and II, by country or region of origin**  
(Grams)

Specify substance →	Methylphenidate				
Total →	3 480				
Imported from:					
Quantities →					
Country or region ↓					
Country B	3 480				

Country C should report on form P:

**VI. Trade details: export of substances in Schedules I and II, by country or region of destination**  
(Grams)

Specify substance →	Methylphenidate				
Total →	870				
Exported to:					
Quantities →					
Country or region ↓					
Country A	870				

Total imports to be reported: 3,480 grams

Total exports to be reported: 870 grams

**4. Part three. Statistical data on the use of substances in Schedules I, II, III and IV of the 1971 Convention for the manufacture of other psychotropic substances**

105. Governments are requested to provide information on a voluntary basis on the use of psychotropic substances for the manufacture of other psychotropic substances on page 16 of form P. Countries should report the name of the source substance used, the quantity used in the manufacturing process and the name and quantity of the other psychotropic substance derived from the manufacturing process.

**Example:** Country A reports the use of 400 kg of lorazepam for the manufacture of lormetazepam. The quantity of lormetazepam obtained is 280 kg.

Country A should report on form P:

**X. Statistical data on the use of substances in Schedules III and IV for the manufacture of other psychotropic substances**  
(Kilograms)

<i>Psychotropic substance used for the manufacture of other psychotropic substance</i>		<i>Other psychotropic substance derived from the manufacturing process</i>	
<i>Substance used</i>	<i>Quantity used</i>	<i>Substance derived</i>	<i>Quantity derived</i>
Lorazepam	400	Lormetazepam	280

**5. Summary of the reporting requirements for statistical data on substances in Schedules I, II, III and IV of the 1971 Convention**

106. The reporting requirements with respect to the individual schedules of the 1971 Convention may be summarized as follows:

<i>Report</i>	<i>Mandatory</i>	<i>Voluntary</i>	<i>Not applicable</i>
Quantity manufactured	All schedules		
Quantity used for the manufacture of non-psychotropic substances or products	Schedules II, III and IV		Schedule I
Quantity used for the manufacture of preparations exempted under article 3, paragraphs 2 and 3	Schedules II and III	Schedule IV	Schedule I
Manufacturers' stocks as at 31 December	Schedules I and II	Schedules III and IV	
Total imports	All schedules		
Total exports	All schedules		
Details on imports	Schedules I and II	Schedules III and IV	
Details on exports	Schedules I and II	Schedules III and IV	
Quantity consumed		Schedules I, II, III and IV	

**D. Quarterly statistics of imports and exports of substances in Schedule II of the Convention on Psychotropic Substances of 1971 (form A/P)**

107. In its resolution 1981/7, the Economic and Social Council requested Governments to furnish INCB with quarterly statistics on imports and exports of psychotropic substances listed in Schedule II of the 1971 Convention. Reporting on trade in substances listed in Schedules III and IV is required on an annual basis and that information should be submitted in the relevant part of

form P (see paras. 99-104). Therefore, Governments should not include trade in substances listed in Schedules III and IV on form A/P.

108. Form A/P must be submitted to INCB within one month of the end of the quarter to which the statistical data relate. The information to be provided on page 1 of the form includes the country or territory providing the report, the date of the report, the competent office, the name and title or function of the person signing the form and his or her signature. It is also necessary to indicate to which calendar year and quarter of that year the statistics refer. Details enabling better understanding of reported information may be submitted on page 1 in the space reserved for remarks.

109. Instructions for completion of form A/P are presented on page 2 of that form. To fill in form A/P properly, the instructions should be studied carefully.

110. Pages 3 and 4 of form A/P relate to the submission of statistics on imports (sect. I) and exports (sect. II) of the psychotropic substances in Schedule II of the 1971 Convention. Additional sheets may be included, if necessary, by the competent national authority to present all the data. Substances for which the statistics are required are listed in the headings from the left to right in alphabetical order. Information on total imports as well as total exports of each substance during a given quarter should be provided in the appropriate spaces. In the first column on the left, the names of the countries or regions from which the psychotropic substances in question were imported or to which they were exported should be entered. Details on quantities imported from (or exported to) the country or region in question are to be entered for that country or region in the column of the respective psychotropic substance.

111. If no international trade in psychotropic substances in Schedule II has occurred during a given quarter, the form should nevertheless be submitted to enable INCB to monitor properly the international movement of those substances.

**Example:** An import order by company X from country A is sent to company Y of country B for the import of 200,000 tablets (10 mg each) of methylphenidate hydrochloride (a total of 2,000 g) in the form of pharmaceutical preparations (tablets). Country A issued the import authorization for 1,740 g (2,000 g × 87 per cent) of methylphenidate base. Country B issued the corresponding export authorization for 1,740 g of methylphenidate base. The consignment was received by country A on 21 March of the same year. The trade statistics for substances in Schedule II for the first quarter of the year are due on 30 April.

**Calculations for country A (the importing country)**

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Imports to be reported</i>
Methylphenidate hydrochloride	Methylphenidate base	Methylphenidate
2 000 g	$2\ 000\ \text{g} \times 0.87 = 1\ 740\ \text{g}$	1 740 g from country B

Country A should report on form A/P:

**I. Imports: statistical data on substances in Schedule II of the  
Convention on Psychotropic Substances of 1971  
(Grams)**

	<i>Levometh- amphetamine</i>	<i>Meclo- qualone</i>	<i>Metam- fetamine</i>	<i>Metam- fetamine racemate</i>	<i>Metha- qualone</i>	<i>Methyl- phenidate</i>	<i>Phen- cyclidine</i>
Total imports:						1 740	
Country or region imported from	Quantities by country						
Country B						1 740	

**Calculations for country B (the exporting country)**

<i>Quantity of substance in salt form or preparations</i>	<i>Conversion into anhydrous base</i>	<i>Exports to be reported</i>
Methylphenidate hydrochloride	Methylphenidate base	Methylphenidate
2 000 g	$2\,000\text{ g} \times 0.87 = 1\,740\text{ g}$	1 740 g to country A

Country B should report on form A/P:

**I. Imports: statistical data on substances in Schedule II of the  
Convention on Psychotropic Substances of 1971  
(Grams)**

	<i>Levometh- amphetamine</i>	<i>Meclo- qualone</i>	<i>Metam- fetamine</i>	<i>Metam- fetamine racemate</i>	<i>Metha- qualone</i>	<i>Methyl- phenidate</i>	<i>Phen- cyclidine</i>
Total exports:						1 740	
Country or region exported to	Quantities by country						
Country A						1 740	

112. The submission of form A/P is not required for countries and territories that have never imported substances listed in Schedule II.

**E. Assessments of annual medical and scientific requirements for  
substances in Schedules II, III and IV of the Convention on  
Psychotropic Substances of 1971 (form B/P)**

113. Unlike the Single Convention on Narcotic Drugs of 1961 and the 1961 Convention as amended by the 1972 Protocol, the Convention on Psychotropic Substances of 1971 does not contain provisions regarding estimates of licit requirements for medical and scientific purposes for controlled substances. As the system of estimates for narcotic drugs has proved to be very efficient in terms of preventing the diversion of narcotic drugs from licit trade to illicit channels,

additional voluntary control measures similar to the system of estimates for narcotic drugs were adopted for psychotropic substances by Governments pursuant to Economic and Social Council resolutions 1981/7, 1986/8 and 1991/44.

114. In its resolution 1981/7, the Economic and Social Council invited all Governments to assess from time to time their medical and scientific requirements for substances listed in Schedule II of the 1971 Convention, as well as for other psychotropic substances, and to communicate that information to INCB for publication with a view to providing guidance for manufacture and export.

115. In its resolution 1986/8, on strengthening the control of international trade in secobarbital, a psychotropic substance listed in Schedule III of the 1971 Convention, the Economic and Social Council requested all importing countries to voluntarily furnish to INCB, to the extent possible, estimates of annual medical and scientific needs for secobarbital. The Commission on Narcotic Drugs, in its decision 6 (S-X) of 8 February 1988, decided that secobarbital should be transferred from Schedule III to Schedule II of the 1971 Convention.

116. The Economic and Social Council, in its resolution 1991/44, having considered the report of the International Narcotics Control Board for 1990,<sup>7</sup> in particular paragraph 38, concerning the successful operation of the simplified estimate system with regard to substances listed in Schedule II of the 1971 Convention, noted with satisfaction that the system of assessment of annual medical and scientific requirements for substances listed in Schedule II had contributed effectively to the prevention of diversion of those substances from licit international trade into illicit channels, and invited all Governments to extend the system of voluntary assessments for substances listed in Schedule II to include also substances listed in Schedules III and IV of the Convention.

117. In its resolution 1996/30, on measures to combat diversion of psychotropic substances and to establish effective control over operations carried out by intermediaries in international trade in psychotropic substances, the Economic and Social Council requested INCB to establish assessments of annual licit domestic requirements for psychotropic substances for countries that had not yet submitted such assessments. In 1997, INCB established the assessments for the first time for 56 countries. To date, the Governments of all 56 of those countries have modified some of the assessments established by the Board by submitting their own assessments.

118. Since 1997, the Board has established assessments mainly for States that are newly independent, to allow them to import psychotropic substances needed for medical or scientific purposes without undue delay.

119. The assessments established by INCB are not intended to be considered consumption levels recommended by the Board. Governments are requested to review the assessments and submit their own assessments, which would replace those established by INCB. The substances for which assessments have been established by INCB should therefore be considered representative substances for the respective therapeutic groups and not the only or recommended substances to be imported. Exporting countries are advised that any of those countries, when importing substances, are free to replace any substance for which an assessment has

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<sup>7</sup> United Nations publication, Sales No. E.90.XI.3.

been established by INCB with another substance from the same therapeutic group and the same schedule of the 1971 Convention, provided that the quantity to be imported, expressed in DDDs, does not exceed the equivalent of the assessment expressed in DDDs. Governments are in the best position to assess realistically the legitimate requirements of their countries for psychotropic substances. At present, all but a few Governments have provided INCB with their own assessments for psychotropic substances.

### **Objective**

120. The main objective of the assessment system for psychotropic substances is to provide the competent authorities of exporting countries with a rough indication of the annual legitimate requirements of importing countries for individual psychotropic substances, as an additional measure to prevent diversion of psychotropic substances from licit international trade into illicit channels. The competent authorities of exporting countries should use that information during their pre-export review of the legitimacy of each export to identify suspicious transactions. The guidelines on estimating requirements for substances under international control, which are developed by INCB in cooperation with the World Health Organization, will be available on the website of the Board ([www.incb.org](http://www.incb.org)) in early 2012.

### **Total of the assessments**

121. The assessments should reflect the total annual domestic requirements of the country for one year. Governments should include quantities to be manufactured domestically and should not restrict themselves to imports only. Governments of importing countries may wish to indicate separately those additional requirements that are destined for re-export. Assessments should reflect the country's previous practices and the information collected from the manufacturing and trading companies.

122. Quantities needed for industrial purposes should also be reported and the purpose should be indicated. Governments may wish, for example, to inform INCB that a part of the quantity of a certain psychotropic substance that is required reflects the use of that substance in the manufacture of another psychotropic substance or of a non-psychotropic substance or chemical product.

123. Unlike the estimates for narcotic drugs, which are required to be furnished to INCB on a yearly basis following each calendar year, the Board requests Governments to review their assessments at least once every three years. When necessary, Governments should submit modifications to their assessments at any time, for instance, in order to add a new psychotropic substance, to replace a psychotropic substance used in the past or to add a psychotropic substance recently placed under international control. Unlike estimates for narcotic drugs, INCB does not need to confirm assessments for psychotropic substances submitted by Governments.

124. Substances in Schedule I of the 1971 Convention have no medical use; therefore, the submission of assessments is not required from Governments. However, some Governments that import substances listed in Schedule I for

scientific purposes may wish to request the assistance of INCB in contacting the authorities of the exporting country, in order to allow such import.

125. In summary, assessments for psychotropic substances should include:

- (a) Quantities to be imported for domestic use;
- (b) Quantities to be manufactured domestically (for internal use or for export);
- (c) Quantities to be used for the manufacture of other psychotropic substances;
- (d) Quantities to be used for the manufacture of a non-psychotropic substance;
- (e) Quantities to be exported or re-exported.

126. Quantities of psychotropic substances to be used for the manufacture of pharmaceutical preparations (from the imported or manufactured bulk substance or its salt) should not be included in the assessments as quantities of the bulk substance have already been taken into consideration (see subparagraphs (a) and (b) of paragraph 125 above).

#### **Establishing assessments**

Competent authorities often rely on information obtained from operators (e.g. manufacturers, importers and exporters) in calculating estimates and assessments of controlled substances. Competent authorities should evaluate the accuracy of such information and make the necessary adjustments prior to submitting estimates and assessments to INCB. In performing such an evaluation, information against which data obtained from operators can be compared include:

- Quantities of controlled substances required for medical purposes as determined by the quantification process. In particular, quantities imported or manufactured for domestic use should not exceed the calculated requirement.
- Quantities of controlled substances imported in recent years, taking into account new health-care developments such as the introduction of a new medicine.
- Quantities manufactured or used for the manufacture of other drugs in recent years, taking into account changes in manufacturing practices.
- Estimates and assessments furnished by countries with comparable socio-economic situations.

127. In order to establish the assessments for psychotropic substances, the competent authorities should obtain the quantities foreseen for each of the activities under paragraph 125 above from the operators (manufacturers, importers, exporters) in their country. While information from the operators is crucial, it is only one source of information and may not be realistic.

128. The competent authorities should use additional sources of information to the extent possible, to evaluate the adequacy of the information obtained from operators as well as the resulting assessment they establish before submitting it to INCB. For example, they might use the following information:

- The annual domestic requirements calculated by using a standard method (e.g., consumption-based method or morbidity-based method)
- Past imports and exports
- Information on past performance by manufacturers, e.g. actual quantities manufactured, sold, used in the manufacture of other substances, stock levels
- Assessments submitted for the same substances by comparable countries (comparable by region, population, morbidity, development index, etc.)

129. Whenever possible, the information collected should not be limited to one year only, but related to a few years.

130. When important discrepancies arise between the newly established assessment of annual requirements, on the one hand, and the calculated annual domestic requirements amended with past statistical data on industrial uses, stock levels and exports, on the other hand, and cannot be explained by changes in population or other developments (new medicines, new health services, etc.), the method used for calculating the requirements and the resulting assessments established should be carefully checked and adjusted, as necessary. In particular, for countries that do not manufacture or export psychotropic substances, the assessments should be comparable to the calculated annual domestic requirements.

131. With regard to safety margins, depending on various factors such as delivery delays, difficulties in transport and availability in endemic zones or instable and conflicts areas, the competent authorities may decide to add a certain margin to the total amount in order to prevent shortfalls and keep a buffer stock.

#### **Reporting form B/P**

132. Form B/P was established by INCB to obtain from Governments information on the assessments of legitimate (medical and/or scientific) requirements for psychotropic substances in Schedules II, III and IV or information on a modification to previous assessments. The form is distributed annually to all Governments and can be downloaded from INCB website ([www.incb.org](http://www.incb.org)). The form should be used whenever a revision of the assessments is made. In order not to unduly burden national administrations, assessments are being viewed as valid for a period of approximately three years unless a new assessment is submitted to INCB in the interim.

133. The information to be provided on page 1 of form B/P includes the name of the country or territory for which the information is provided, the date, the competent office, the name of the officer responsible, and his or her title or function and signature. It is also requested to specify the date as of which the new assessments are valid.

134. Assessments are to be submitted in the standardized format. All quantities for substances in Schedules II, III and IV should be provided in grams. Fractions of

grams should be rounded up. Quantities exceeding 1,000 g should be indicated in the appropriate column (kilograms).

**Example:** Assessments of 3,400 g should be indicated as follows: 3 under the column for kilograms and 400 under the column for grams. An assessment of 350 mg should be indicated as follows: 1 under the column for grams.

**Example:** Country A requires approximately 120.5 kg of diazepam annually for its domestic use and about 50 kg to be re-exported to other countries. Assessments for diazepam should indicate 170,500 grams (170 in the column for kilograms and 500 in the column for grams) with a remark indicating that 50 kg would be re-exported.

Country A should report on form B/P:

**Assessments of requirements for substances in Schedule IV**

	<i>Substance</i>	<i>Kilograms</i>	<i>Grams</i>
PD 006	Diazepam	170 <sup>a</sup>	500

<sup>a</sup> 50 kilograms will be re-exported.

**Example:** Country B requires approximately 105 kg of metamfetamine (a substance in Schedule II) annually; part of that quantity (5 kg) is normally re-exported in the form of preparations and 100 kg are converted into benzfetamine (a substance in Schedule IV). The quantity to be indicated as an annual legitimate requirement in the country for metamfetamine would be 105 kg (105 in the column for kilograms). In this instance, the Government should explain that the 100 kg are destined for conversion into another psychotropic substance and that 5 kg are required for export. Such additional information provided by the Government would appear as footnotes in the technical publication of INCB on annual assessments for psychotropic substances (table V) and in the quarterly report distributed to all Governments.

Country B should report on form B/P:

**Assessments of requirements for substances in Schedule II**

	<i>Substance</i>	<i>Kilograms</i>	<i>Grams</i>
PM 005	Metamfetamine	105 <sup>a</sup>	

<sup>a</sup>Including the quantity to be re-exported and 100 kg to be converted into benzfetamine.

**Modifications**

135. INCB requests Governments to provide to it on form B/P, at least once every three years, their countries' assessments of annual medical and scientific requirements for substances in Schedules II, III and IV of the 1971 Convention. In the meantime, Governments wishing to make modifications to their current assessments for one or more substances or to submit assessments for additional psychotropic substances are invited to provide such information to INCB, at any time, on form B/P, indicating their intention in the box marked "Modification" in

the top right corner of the form. The quantities indicated should reflect the new revised total assessments and not the quantities in addition to previous assessments.

**Assessments published by the International Narcotics Control Board**

136. Governments submitting an updated form B/P are requested to indicate their current assessments of annual legitimate requirements for all the psychotropic substances under international control used in their respective countries — not only the ones that were modified but also those for which no modifications were made.

137. The information in the INCB database, which is updated regularly, reflects the latest assessments for the psychotropic substances for each country, based on the quantities indicated in the latest form B/P and subsequent modifications made in the meantime by the respective Governments. Current assessments are distributed quarterly to all Governments. Information on the assessments for psychotropic substances, updated on a monthly basis, can be found on the INCB website ([www.incb.org](http://www.incb.org)) with a view to providing guidance and ensuring that the quantities requested to be cleared for export are in line with importing countries' assessments.



### **III. Guidelines for national drug control administrators on article 13 of the Convention on Psychotropic Substances of 1971**

#### **A. Article 13 of the Convention on Psychotropic Substances of 1971**

138. Article 13 of the 1971 Convention acts as a protective buffer to all States, both parties and non-parties to the Convention, wishing to prohibit imports of certain psychotropic substances. Pursuant to the provisions of article 13, Governments may prohibit the import of substances in Schedules II, III and IV of the 1971 Convention and obtain support from other Governments to enforce that prohibition. The text of article 13 is as follows:

##### *Article 13*

##### *Prohibition of and restrictions on export and import*

1. A Party may notify all the other Parties through the Secretary-General that it prohibits the import into its country or into one of its regions of one or more substances in Schedule II, III or IV, specified in its notification. Any such notification shall specify the name of the substance as designated in Schedule II, III or IV.

2. If a Party has been notified of a prohibition pursuant to paragraph 1, it shall take measures to ensure that none of the substances specified in the notification is exported to the country or one of the regions of the notifying Party.

3. Notwithstanding the provisions of the preceding paragraphs, a Party which has given notification pursuant to paragraph 1 may authorize by special import licence in each case the import of specified quantities of the substances in question or preparations containing such substances. The issuing authority of the importing country shall send two copies of the special import licence, indicating the name and address of the importer and the exporter, to the competent authority of the exporting country or region, which may then authorize the exporter to make the shipment. One copy of the special import licence, duly endorsed by the competent authority of the exporting country or region, shall accompany the shipment.

#### **B. Advantages for developing countries**

139. Article 13 contains provisions that enable all countries to protect themselves against the importation of undesirable psychotropic substances in a cost-effective manner by obliging all exporting countries to support them in that endeavour. While not totally absolving countries of their obligation to strictly control the importation of psychotropic substances, article 13 does, in a sense, allow countries to shift some of the responsibility for the prevention of such illegal imports to exporting countries.

140. Law enforcement authorities at the borders of a country may have difficulties in identifying prohibited psychotropic substances, particularly in cases where they

are exported under unfamiliar trade names. Specialized training in the identification of such substances is expensive and time-consuming, and especially for developing countries with limited financial and human resources. Article 13, therefore, creates an obligation for exporting countries to ensure that certain psychotropic substances are not exported to countries that have prohibited the import of those substances. Exporting countries are usually in a better position to identify those psychotropic substances and prevent their export.

141. Under article 13, one State may oblige other States to take measures to prevent the export of consignments of undesirable psychotropic substances to it. Customs officials in exporting countries are required to ensure that psychotropic substances are not exported to a country where their importation has been prohibited. Individuals and companies in exporting countries attempting to export prohibited psychotropic substances to such a country will face severe penalties.

### **C. Prohibiting the import of substances in Schedules II, III and IV of the 1971 Convention through article 13**

142. The procedure for invoking article 13 of the 1971 Convention is quite simple. If a Government decides to prohibit the import of certain psychotropic substances under article 13, it simply has to notify the Secretary-General of its decision. The notification must be sent directly to the following address:

Secretary-General of the United Nations  
Executive Director of the United Nations Office on Drugs and Crime  
Vienna International Centre  
P.O. Box 500  
A-1400 Vienna, Austria

143. The notification of prohibition should not be sent to any institution other than the one listed above.

144. The notification must be submitted through the appropriate diplomatic channels. In other words, the notification must be sent through the Ministry of Foreign Affairs or through a diplomatic mission of a Government (such as its embassy, or its permanent mission to the United Nations in New York, Geneva or Vienna). A letter from the Minister of Health, even if it is signed by the Minister, is therefore insufficient for notification under the international drug control treaties.

### **D. Information to be included in the notification**

145. In a notification to be submitted pursuant to article 13 of the 1971 Convention, it is necessary to specify the name of the substance as listed under Schedule II, III or IV of the 1971 Convention. To assist in the preparation of a notification, a model form has been prepared (see annex III). The form contains all the necessary details and should be filled in carefully.

146. The notifying Government may exclude from the prohibition one or more preparations of the substance concerned, or it may limit the prohibition to one or more preparations of a substance while not barring the importation of the basic

substance itself or of its other preparations. In such cases, the exact chemical composition of the preparation or preparations must be indicated in the notification.

#### **E. Once the notification is received by the Secretary-General**

147. Upon receipt, the Secretary-General will circulate the notification to all other Governments, thus informing them that the Government concerned has decided that the substance in question should not be exported to that country. States parties to the 1971 Convention have the obligation to ensure that the prohibited substances are not exported to that country.

#### **F. Possibility of legally importing prohibited substances should the need arise**

148. The legal importation of a substance for which a prohibition is still in effect is possible under certain conditions outlined in paragraph 3 of article 13 (see para. 138 above). If necessary, a Government may also cancel its notification of prohibition by informing the Secretary-General of its decision to terminate the prohibition of the substance in question.

#### **G. States not parties to the 1971 Convention using and benefiting from article 13**

149. A non-party to the 1971 Convention may prohibit the import of psychotropic substances in Schedules II, III and IV to its territory under article 13. In resolution I adopted by the United Nations Conference for the Adoption of a Convention on Psychotropic Substances, the Conference invited States to apply provisionally the measures of control provided in the 1971 Convention pending its entry into force for each of them.

#### **H. In case of difficulties**

150. Governments that encounter difficulties in taking advantage of article 13 or that have additional queries should contact the appropriate regional office of the United Nations Office on Drugs and Crime or the International Narcotics Control Board secretariat in Vienna.



## Annex I

### **Model of an instrument of accession to the Convention on Psychotropic Substances of 1971**

WHEREAS the Convention on Psychotropic Substances of 1971 was concluded at Vienna on 21 February 1971,

THEREFORE, I, \_\_\_\_\_, declare that  
*(Name and title of the Head of State, Head of  
Government or Minister for Foreign Affairs)*

the Government of \_\_\_\_\_ having considered the above  
*(Name of State)*

mentioned Convention, accedes to the same and undertakes faithfully to perform and carry out the stipulations contained therein.

IN WITNESS WHEREOF, I have signed this instrument of accession at

\_\_\_\_\_ on \_\_\_\_\_.  
*(Place) (Date)*

*(Signature)*



## Annex II

### Model form of a notification under article 3, paragraph 3, of the Convention on Psychotropic Substances of 1971 (model form VI)

*Subject: Decision to exempt a preparation from measures of control set forth in the 1971 Convention*

The Government of \_\_\_\_\_, being a party to the Convention on  
(Name of State)

Psychotropic Substances of 1971, refers to a preparation containing the following substance(s) listed in:

<i>Schedule</i>	<i>Name of substance as listed in the Schedule</i>	<i>International non-proprietary name if it differs from the name of the substance as listed in the Schedule</i>
Schedule II*		
Schedule III*		
Schedule IV*		

The preparation is known by the name of \_\_\_\_\_

and its chemical composition is as follows: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The Government of \_\_\_\_\_ hereby notifies the Secretary-General in  
(Name of State)

the terms of article 3, paragraph 3, of the 1971 Convention that it has made a finding under article 3, paragraph 2, of the Convention and has accordingly decided to exempt this preparation in its country\* and in its regions\* from:

(a) The following measures of control set forth in the Convention for the psychotropic substance(s) that the preparation contains:\*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\* Delete whichever is not appropriate.

(b) All of the measures of control set forth in the Convention for the psychotropic substance(s) that the preparation contains, with the exception as stated below:\*

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The Government confirms, however, that it shall apply to the above-mentioned preparation the mandatory measures of control required by article 3, paragraph 3, of the Convention.

\_\_\_\_\_, \_\_\_\_\_  
(Place) (Date)

\_\_\_\_\_  
(Signature and name  
of the competent  
government authority)

The notification should be sent to:  
Secretary-General of the United Nations  
c/o Executive Director of the United Nations Office on Drugs and Crime  
Vienna International Centre  
P.O. Box 500  
A-1400 Vienna, Austria

## Annex III

### Model form of a notification under article 13, paragraph 1, of the Convention on Psychotropic Substances of 1971 (model form VIII)

*Subject: Prohibition to import a substance listed in Schedule II, III or IV of the 1971 Convention and/or a preparation containing such a substance*

The Government of \_\_\_\_\_, being a party to the Convention  
(Name of State)

on Psychotropic Substances of 1971, hereby notifies the Secretary-General that, with effect from \_\_\_\_\_, it has decided to prohibit the import, into its country\*  
(Date)

and into its regions\* \_\_\_\_\_, of:

(a) The following substance(s) listed in:\*

<i>Schedule</i>	<i>Name of substance as listed in the Schedule</i>	<i>International non-proprietary name (INN) if it differs from the name of the substance as listed in the Schedule</i>
Schedule II*		
Schedule III*		
Schedule IV*		

(b) The following preparation containing a substance or substances listed in:\*

<i>Schedule</i>	<i>Substance(s) contained in the preparation</i>		<i>Name and exact chemical composition of the preparation</i>
	<i>Name of substance as listed in the Schedule</i>	<i>International non-proprietary name (INN) if it differs from the name of the substance as listed in the Schedule</i>	
II*			
III*			
IV*			

The Government also requests the Secretary-General to transmit copies of this notification, by registered airmail, with return receipt requested, to all parties to the 1971 Convention.

\* Delete whichever is not appropriate.

The Government of \_\_\_\_\_ further requests that the Secretary-  
(*Name of State*)

General bring to the attention of all States parties the fact that, in accordance with article 13, paragraph 2, of the Convention, they should take measures to ensure that the substance\* and the preparation\* specified in this notification is\*/are\* not exported by them to that country\* and to the above-mentioned regions.\*

This notification notwithstanding, the Government reserves its right under article 13, paragraph 3, of the Convention, to authorize the import of specified quantities, by special import licence, of the above-mentioned substance or preparation. In the event of the Government authorizing such import by special import licence, the procedure for export and import provided for by article 13, paragraph 3, of the Convention shall apply.

The Government of \_\_\_\_\_ requests the Secretary-General of  
(*Name of State*)

the United Nations to inform the Government of the date of receipt of this notification by each of the other States parties to the Convention.

\_\_\_\_\_, \_\_\_\_\_  
(*Place*)                      (*Date*)

\_\_\_\_\_  
(*Signature and name  
of the competent  
government authority*)

This notification should be sent to:  
Secretary-General of the United Nations  
c/o Executive Director of the United Nations Office on Drugs and Crime  
Vienna International Centre  
P.O. Box 500  
A-1400 Vienna, Austria

## Annex IV

### Model form for import authorization (PS/Form 1A)\*

#### Import authorization\*\*

Import authorization No. ...

- I. On behalf of the Government of \_\_\_\_\_, the  
(Name of State)  
undersigned, empowered by the competent authority, pursuant to article 12, paragraph 1, of the Convention on Psychotropic Substances of 1971, to issue authorizations to import psychotropic substances listed in Schedule I and/or Schedule II of that Convention and/or preparations containing such substances, hereby authorizes the following import:

1. *Importer:*

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

[Note: Consignments to a post office box are not allowed.]

2. *Exporter:*

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

3. In the case of the import of a substance or substances listed in Schedule I\*\*\* and Schedule II\*\*\*:

- (a) The international non-proprietary name, or, in the absence of such a name, the designation of the substance(s) in the Schedule(s):

\_\_\_\_\_  
\_\_\_\_\_

- (b) The quantity of such substance(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

\* To be completed in triplicate.

\*\* Established by the Commission on Narcotic Drugs in accordance with article 12, paragraph 1, of the Convention on Psychotropic Substances of 1971.

\*\*\* Delete whichever is not applicable.

4. In the case of the import of a preparation or preparations containing a substance or substances listed in Schedule I\*\*\* and Schedule II\*\*\*:

(a) The international non-proprietary name(s) of the substance(s) contained therein, or, in the absence of such a name, the designation of the substance(s) in the Schedule(s):

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(b) The name(s) and contents of active ingredients of the preparation(s) authorized to be imported:

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(c) The quantity of the preparation(s) authorized to be imported:

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(d) The total quantity of each such substance contained in the total amount of the preparation(s) authorized to be imported:

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(e) The pharmaceutical form(s) in which the preparation(s) is (are) authorized to be imported (e.g. ampoule, pill, powder):

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II. In the case of an import related to a consignment to be placed in a bonded warehouse (prohibited with regard to substances or preparations in Schedule I), it is hereby certified that the placing of the importation specified in section I above in the following bonded warehouse is approved:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

III. Expiration date

The present import authorization expires on \_\_\_\_\_  
(Day) (Month) (Year)

\_\_\_\_\_  
(Place)

\_\_\_\_\_  
(Date of issuance)

\_\_\_\_\_  
(Signature of official, name and  
stamp of the competent authority)

*Notes:*

1. A separate import authorization is needed for each import, whether it consists of one or more substances and/or preparations containing such substances.
2. The issued and approved import authorization shall be furnished by the person or establishment applying for an export authorization to the authority competent to issue such export authorizations.
3. The information required shall be given in such a way as to facilitate the task of the control officers to verify the identity of the substances and preparations in the shipment. With regard to the information to be given concerning preparations, the name alone is sufficient only if it can safely be expected that this name will unequivocally indicate to control officers the contents of active ingredients of the preparations in the shipment; otherwise full information on such active ingredients is required.



**Annex V**

**Model form for export authorization (PS/Form EA)\***

**Export authorization\*\***

*Export authorization No. ...*

I. On behalf of the Government of \_\_\_\_\_, the  
(Name of State)

undersigned, empowered by the competent authority, pursuant to article 12, paragraph 1, of the Convention on Psychotropic Substances of 1971, to issue authorizations to export psychotropic substances listed in Schedule I and/or Schedule II of that Convention and/or preparations containing such substances, hereby authorizes with reference to import authorization No. \_\_\_\_\_,

dated \_\_\_\_\_  
(Day) (Month) (Year)

and issued by \_\_\_\_\_  
(Name of the agency having issued the import authorization)

of \_\_\_\_\_, which the exporter presented to the  
(Name of the importing country)

undersigned, the following exporter:

1. *Exporter:*

Name: \_\_\_\_\_

Address: \_\_\_\_\_

2. *Importer:*

Name: \_\_\_\_\_

Address: \_\_\_\_\_

[*Note:* Export of consignments to a post office box is not allowed.]

3. In the case of the export of a substance or substances listed in Schedule I\*\*\* and Schedule II\*\*\*:

(a) The international non-proprietary name, or, in the absence of such a name, the designation of the substance(s) in the Schedule(s):

\_\_\_\_\_  
\_\_\_\_\_

\* To be completed in triplicate.

\*\* Established by the Commission on Narcotic Drugs in accordance with article 12, paragraph 1, of the Convention on Psychotropic Substances of 1971.

\*\*\* Delete whichever is not appropriate.

(b) The quantity of the substance(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

4. In the case of the export of a preparation or preparations containing a substance or substances listed in Schedule I\*\*\* and Schedule II\*\*\*:

(a) The international non-proprietary name(s) of the substance(s) contained therein or, in the absence of such a name, the designation of the substance(s) in the Schedule(s):

\_\_\_\_\_  
\_\_\_\_\_

(b) The name(s) and contents of active ingredients of the preparation(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

(c) The quantity of the preparation(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

(d) The total quantity of each such substance contained in the total amount of the preparation(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

(e) The pharmaceutical form(s) in which the preparation(s) is (are) authorized to be exported (e.g. ampoule, pill, powder):

\_\_\_\_\_  
\_\_\_\_\_

II. In the case of an export related to a consignment to be placed in a bonded warehouse (prohibited with regard to substances or preparations in Schedule I), it is hereby certified that the consignment to be exported as specified in section I above shall be placed in the following bonded warehouse:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

as approved by the import authorization referred to in section I above.





## Annex VI

### Model form for export declaration (PS/Form ED)\*

#### Export declaration\*\*

**For the export of psychotropic substances listed in Schedule III  
of the Convention on Psychotropic Substances of 1971 and/or  
preparations containing such psychotropic substances**

1. *Exporter:*

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

2. *Importer:*

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

[*Note:* Export of consignments to a post office box is not allowed.]

3. In the case of the export of a substance or substances listed in Schedule I\*\*\*  
and Schedule II\*\*\*:

(a) The international non-proprietary name, or, in the absence of such a name, the  
designation of the substance(s) in that Schedule:

\_\_\_\_\_

\_\_\_\_\_

(b) The quantity of the substance(s) authorized to be exported:

\_\_\_\_\_

\_\_\_\_\_

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\* To be completed in quadruplicate.

\*\* Established by the Commission on Narcotic Drugs in accordance with article 12,  
paragraph 2 (a), of the Convention on Psychotropic Substances of 1971.

\*\*\* Delete whichever is not applicable.

4. In the case of the export of a preparation or preparations containing a substance or substances listed in Schedule III:

(a) The international non-proprietary name(s) of the substance(s) contained therein or, in the absence of such a name, the designation of the substance(s) in the Schedule:

\_\_\_\_\_  
\_\_\_\_\_

(b) The name(s) and contents of active ingredients of the preparation(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

(c) The quantity of the preparation(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

(d) The total quantity of each such substance contained in the total amount of the preparation(s) authorized to be exported:

\_\_\_\_\_  
\_\_\_\_\_

(e) The pharmaceutical form(s) in which the preparation(s) is (are) authorized to be exported (e.g. ampoule, pill, powder):

\_\_\_\_\_  
\_\_\_\_\_

5. Date of dispatch:

\_\_\_\_\_

The undersigned hereby declares that the above information, submitted on behalf of the exporter, is, to the best of his or her knowledge, complete and correct.

\_\_\_\_\_  
(Place)

\_\_\_\_\_  
(Date of issuance)

\_\_\_\_\_  
(Signature of official, name and stamp  
of the competent authority)

*Notes:*

1. Two copies of the above declaration shall be submitted immediately by the exporters to the competent authorities of their country or region; the white copy shall be attached to the consignment exported by them, but in a manner which does not attract to the nature of the shipment the attention of persons who might divert it for illicit purposes; the fourth copy is for the exporter's own records.
2. The information required shall be given in such a way as to facilitate the task of the control officers to verify the identity of the substances and preparations in the shipment. With regard to the information to be given concerning preparations, the name alone is sufficient only if it can safely be expected that this name will unequivocally indicate to control officers the contents of active ingredients of the preparations in the shipment; otherwise full information on such active ingredients is required.
3. A State party from whose territory the substance has been exported shall send one copy of the declaration received from the exporters as soon as possible, but not later than 90 days after the date of dispatch, to the competent authorities of the importing country or region by registered mail, and request acknowledgement of receipt of the declaration.



## Annex VII

### **Resolutions of the Economic and Social Council and the Commission on Narcotic Drugs**

#### **A. Economic and Social Council resolution 1991/44: Prevention of diversion from international trade into illicit channels of psychotropic substances listed in Schedules III and IV of the Convention on Psychotropic Substances of 1971**

*The Economic and Social Council,*

*Noting with concern* the widespread and increasing abuse of psychotropic substances in many countries and the related trafficking, which often involves diversion from licit channels,

*Alarmed* by the large quantities of substances listed in Schedules III and IV of the Convention on Psychotropic Substances of 1971<sup>a</sup> that have been diverted from international trade into illicit channels,

*Recognizing* that the present control mechanisms for international trade set forth in the Convention require further strengthening if diversion into illicit channels of substances listed in Schedules III and IV is to be prevented,

*Recalling* targets 8 and 10 of the Comprehensive Multidisciplinary Outline of Future Activities in Drug Abuse Control,<sup>b</sup>

*Bearing in mind* the Political Declaration and Global Programme of Action adopted by the General Assembly at its seventeenth special session,<sup>c</sup> in particular the section of the Global Programme of Action on the control of the supply of narcotic drugs and psychotropic substances,

*Reiterating its request*, contained in its resolutions 1985/15 of 28 May 1985 and 1987/30 of 26 May 1987, to all Governments, to the extent possible, voluntarily to extend the system of import and export authorizations provided for in article 12, paragraph 1, of the Convention to cover international trade in substances listed in Schedules III and IV,

*Recalling* its resolution 1981/7 of 6 May 1981, in which it invited all Governments to assess from time to time their medical and scientific requirements for substances listed in Schedule II of the Convention,

*Noting with satisfaction* that the system of assessment of annual medical and scientific requirements for substances listed in Schedule II of the Convention has contributed effectively to the prevention of diversion of those substances from licit international trade into illicit channels,

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<sup>a</sup> United Nations, *Treaty Series*, vol. 1019, No. 14956.

<sup>b</sup> See *Report of the International Conference on Drug Abuse and Illicit Trafficking, Vienna, 17-26 June 1987* (United Nations publication, Sales No. E.87.I.18), chap. I, sect. A.

<sup>c</sup> General Assembly resolution S-17/2, annex.

*Having considered* the report of the International Narcotics Control Board for 1990, in particular paragraph 38,<sup>d</sup> concerning the successful operation of the simplified estimate system with regard to substances listed in Schedule II of the Convention,

1. *Invites* all Governments to extend the system of voluntary assessments of annual medical and scientific requirements for substances listed in Schedule II to include also substances listed in Schedules III and IV of the Convention on Psychotropic Substances of 1971;

2. *Calls upon* importing countries to exercise continuing vigilance to ensure that imports of psychotropic substances are in accordance with requirements for medical and scientific purposes and to cooperate with exporting countries and with the International Narcotics Control Board in order to prevent the diversion of such substances into illicit channels;

3. *Invites* all Governments to communicate from time to time their assessments of annual medical and scientific requirements for substances listed in Schedules III and IV of the Convention to the International Narcotics Control Board for publication, with a view to providing guidance for manufacture and export;

4. *Also invites* all Governments to develop mechanisms to ensure that exports of psychotropic substances are in line with the assessments of importing countries and, if necessary, to consult with the Governments of such countries or with the International Narcotics Control Board on such matters;

5. *Requests* the Secretary-General to transmit the present resolution to all Governments and to invite them to bring it to the attention of the competent national authorities in order to ensure the implementation of its provisions.

*15th plenary meeting  
21 June 1991*

**B. Economic and Social Council resolution 1993/38: Measures to prevent substances listed in Schedules III and IV of the Convention on Psychotropic Substances of 1971 from being diverted from international trade into illicit channels**

*The Economic and Social Council,*

*Alarmed* by the continuing diversion of large quantities of substances listed in Schedules III and IV of the Convention on Psychotropic Substances of 1971<sup>a</sup> from licit manufacture and trade into illicit channels,

*Recalling* targets 8 and 10 of the Comprehensive Multidisciplinary Outline of Future Activities in Drug Abuse Control,<sup>b</sup>

*Recognizing* that action to prevent such diversion requires a global response by exporting, transit and importing States,

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<sup>d</sup> United Nations publication, Sales No. E.90.XI.3.

*Bearing in mind* the Political Declaration and Global Programme of Action adopted by the General Assembly at its seventeenth special session,<sup>e</sup> particularly the paragraphs on control of supply of narcotic drugs and psychotropic substances,

*Reiterating its request*, contained in its resolutions 1985/15 of 28 May 1985 and 1987/30 of 26 May 1987, to all Governments, to the extent possible, voluntarily to extend the system of import and export authorizations provided for in article 12, paragraph 1, of the Convention to cover international trade in substances listed in Schedules III and IV,

*Reiterating its invitation*, contained in its resolution 1991/44 of 21 June 1991, to all Governments to extend the system of voluntary assessments of annual medical and scientific requirements for substances listed in Schedule II to include also substances listed in Schedules III and IV of the Convention,

*Taking note with satisfaction* of the recommendations of the Conference on Control of International Trade in Psychotropic Substances, held at Strasbourg, France, from 3 to 5 March 1993, which was organized jointly by the International Narcotics Control Board and the Pompidou Group of the Council of Europe,

*Having considered* the report of the International Narcotics Control Board for 1992,<sup>e</sup> in particular paragraph 59, concerning the successful operation of the system of import and export authorizations and the simplified estimate system with regard to substances listed in Schedule II of the Convention,

*Noting with satisfaction* that more than ninety Governments have already communicated to the International Narcotics Control Board their assessments of annual medical and scientific requirements for substances listed in Schedules III and IV of the Convention, and that those assessments have been published by the Board with a view to providing guidance for manufacture and export,

1. *Invites* all Governments that have not yet done so to accede to the Convention on Psychotropic Substances of 1971;

2. *Also invites* all Governments that have not yet done so to communicate to the International Narcotics Control Board their assessments of annual medical and scientific requirements for substances listed in Schedules III and IV of the Convention;

3. *Invites* importing States to take more frequent advantage of the provisions of article 13 of the Convention to prohibit the import of psychotropic substances not needed for legitimate use but frequently diverted into illicit channels;

4. *Calls upon* all Governments that do not yet control exports of all substances listed in Schedules III and IV of the Convention by using the system of export authorizations to urgently consider the establishment of such a system;

5. *Calls upon* all Governments for which the control of exports of substances listed in Schedules III and IV of the Convention using the system of export authorizations is not immediately feasible to utilize, in the meantime, other mechanisms, such as the system of pre-export declarations, to ensure that exports of psychotropic substances are in line with the assessments of importing States and that other control requirements in importing States such as import prohibitions

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<sup>e</sup> United Nations publication, Sales No. E.93.XI.1.

under article 13 of the Convention and import authorization requirements are respected;

6. *Invites* all Governments to exercise continuing vigilance to ensure that operations of brokers and transit operators are not used for the diversion of psychotropic substances into illicit channels;

7. *Calls upon* Governments of States with experienced national drug control administrations and the United Nations International Drug Control Programme to provide support such as training and information systems to States that require assistance in establishing effective control mechanisms for international trade in psychotropic substances;

8. *Requests* the Secretary-General to transmit the present resolution to all Governments and to invite them to bring it to the attention of their competent authorities in order to ensure the implementation of its provisions.

*43rd plenary meeting  
27 July 1993*

### **C. Economic and Social Council resolution 1996/30: Measures to combat diversion of psychotropic substances and to establish effective control over operations carried out by intermediaries in international trade of psychotropic substances**

*The Economic and Social Council,*

*Recalling* the need to give full effect to the Convention on Psychotropic Substances of 1971,<sup>a</sup> in order to effectively combat diversion and abuse of psychotropic substances,

*Noting* that difficulties encountered by certain countries in introducing control measures provided for in the 1971 Convention have been central to the problem of diversion of psychotropic substances involving intermediaries,

*Recalling* its resolutions 1991/44 of 21 June 1991 and 1993/38 of 27 July 1993 on measures to enhance controls of international trade in psychotropic substances,

*Noting* that intermediaries have been involved in major cases of diversion and attempted diversion of psychotropic substances,

*Noting also* that the situation is further exacerbated by the fact that some countries complying with the requirements of the 1971 Convention and of its resolutions are allowing the export of psychotropic substances to countries in which effective import or export controls have not yet been implemented,

*Recalling* that in its resolution 1993/38 on measures to prevent substances listed in Schedules III and IV of the 1971 Convention from being diverted from international trade into illicit channels, it invited Governments, inter alia, to exercise continuing vigilance to ensure that operations of brokers and transit operators are not used for the diversion of psychotropic substances into illicit channels,

*Noting with satisfaction* the relevant activities carried out jointly by the International Narcotics Control Board and the Pompidou Group of the Council of Europe and, in particular, the conclusions and recommendations of the International Narcotics Control Board/Pompidou Group Expert Consultation on Control of Brokers and Transit Operators Handling Psychotropic Substances and Precursors, held at Vienna from 3 to 5 May 1995, as well as those of their Conference on Control of International Trade in Psychotropic Substances in Europe, held at Strasbourg, France, from 18 to 20 October 1995,

*Recognizing* the increasingly important role of the International Narcotics Control Board in facilitating the detection and interdiction of the suspected diversion of psychotropic substances,

1. *Invites* Governments that have not already done so to establish, as a matter of priority, competent authorities for the control of psychotropic substances and to notify the Secretary-General of the identity of those authorities, including details of addresses;

2. *Also invites* Governments to take appropriate measures, with the assistance of the International Narcotics Control Board, to prevent shipments of psychotropic substances in excess of the annual domestic requirements for licit purposes to countries which have not yet implemented effective controls over international trade in those substances;

3. *Requests* the International Narcotics Control Board to establish assessments of annual licit domestic requirements of psychotropic substances for countries that have not yet submitted such assessments;

4. *Invites* Governments of exporting countries to exercise the utmost vigilance over import orders for psychotropic substances received from countries considered to have deficient control regimes, particularly in order to prevent uncontrolled re-exports, and to ensure that exports to free ports and free trade zones are avoided if controls over re-exports have not been established;

5. *Calls upon* all Governments which do not yet control international trade in all psychotropic substances listed in Schedules III and IV of the Convention on Psychotropic Substances of 1971 by using the system of import and export authorizations urgently to consider the establishment of such a system;

6. *Also calls upon* all Governments for which it is not immediately feasible to control the export of substances listed in Schedules III and IV of the 1971 Convention by means of the system of export authorizations to make use of other mechanisms, such as the system of pre-export declarations;

7. *Calls upon* all Governments to consider the establishment of control measures for intermediaries, including registration on licensing and record-keeping requirements, as well as the enactment of regulatory and criminal sanctions for intermediaries facilitating diversions;

8. *Requests* the International Narcotics Control Board to study, in consultation with Governments, the feasibility of formulating specific guidelines for use by Governments on the control of intermediaries involved in international trade of psychotropic substances, on the basis of the conclusions and recommendations of the International Narcotics Control Board/Pompidou Group Expert Consultation on

Control of Brokers and Transit Operators Handling Psychotropic Substances and Precursors, held at Vienna from 3 to 5 May 1995;

9. *Invites* Governments of exporting countries, in seeking to verify the legitimacy of suspicious export transactions, to establish or reinforce bilateral contacts with Governments of importing countries and, if necessary, to request the assistance of the International Narcotics Control Board;

10. *Invites* all Governments and relevant international bodies to ensure the rapid flow of communications, including the use of electronic means of data exchange;

11. *Requests* the Secretary-General to propose to the General Assembly, in order to implement the present resolution, any modification in the programme of work of the Secretariat that may be necessary for the allocation of adequate resources to the United Nations International Drug Control Programme in the programme budget for the biennium 1996-1997;

12. *Also requests* the Secretary-General to transmit the present resolution to all Governments for consideration and implementation.

*48th plenary meeting  
24 July 1996*

**D. Commission on Narcotic Drugs resolution 53/4: Promoting adequate availability of internationally controlled licit drugs for medical and scientific purposes while preventing their diversion and abuse**

*The Commission on Narcotic Drugs,*

*Stressing the importance* of promoting adequate availability of internationally controlled licit drugs for medical and scientific purposes while preventing their diversion and abuse,

*Recalling* the Single Convention on Narcotic Drugs of 1961 as amended by the 1972 Protocol,<sup>f</sup> in which the parties recognized that the medical use of narcotic drugs continued to be indispensable for the relief of pain and suffering and that adequate provision must be made to ensure the availability of narcotic drugs for such purposes,

*Recalling also* the Convention on Psychotropic Substances of 1971,<sup>a</sup> in which it is recognized that the use of psychotropic substances for medical and scientific purposes is indispensable and that their availability for such purposes should not be unduly restricted,

*Recalling further* Economic and Social Council resolution 2005/25 of 22 July 2005, on treatment of pain using opioid analgesics,

*Recalling* its resolution 48/5, in which it called for increased international cooperation to counter the diversion of substances via the Internet and their abuse,

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<sup>f</sup> United Nations, *Treaty Series*, vol. 976, No. 14152.

*Affirming* that the international drug control conventions seek to achieve a balance between ensuring the availability of narcotic drugs and psychotropic substances under international control for medical and scientific purposes and preventing their diversion and abuse,

*Reaffirming* the important role entrusted to the International Narcotics Control Board to ensure, in cooperation with Governments, the availability of narcotic drugs for medical and scientific purposes and prevent illicit trafficking in and use of drugs, as set out in article 9, paragraph 4, of the 1961 Convention as amended by the 1972 Protocol,

*Concerned* that, although there is sufficient supply of licit opiate raw materials to meet global requirements, as highlighted in the annual reports of the International Narcotics Control Board for 2008<sup>g</sup> and 2009,<sup>h</sup> access to opioid-based medications is non-existent or almost non-existent in many countries and regions,

*Noting* the concern expressed by the International Narcotics Control Board in its annual report for 2009 that some Governments need to take specific measures to ensure that their populations have adequate access to opioid-based medications in line with the international drug control conventions,

*Underscoring* the fact that the submission of estimates and statistical returns by Governments is critical to the actions taken by the International Narcotics Control Board for the implementation of treaty provisions regarding the adequate availability of internationally controlled licit drugs for medical and scientific purposes,

*Acknowledging* that an increase in the licit supply of internationally controlled substances may raise the risk of diversion and abuse of those substances and that in its annual reports for 2008 and 2009, the International Narcotics Control Board encouraged Governments to increase their vigilance regarding trafficking in and abuse of prescription drugs containing internationally controlled substances and consider enacting enhanced laws to counter trafficking in such prescription drugs,

*Noting* the medical and scientific needs for internationally controlled substances worldwide to be met within a regulatory and legal framework that prevents their diversion and abuse,

*Also noting* that the survey of Governments carried out by the International Narcotics Control Board in 2007 identified concern about addiction to narcotic drugs to be the primary factor in the underutilization of essential medicines, followed by the factors of insufficient training of health-care professionals and the existence of restrictive laws that did not take into account the need to ensure the medical availability of narcotic drugs,<sup>i</sup>

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<sup>g</sup> *Report of the International Narcotics Control Board for 2008* (United Nations publication, Sales No. E.09.XI.1).

<sup>h</sup> *Report of the International Narcotics Control Board for 2009* (United Nations publication, Sales No. E.10.XI.1).

<sup>i</sup> *Report of the International Narcotics Control Board on the follow-up to the Twentieth Special Session of the General Assembly* (United Nations publication, Sales No. E.09.XI.7), paras. 10-12.

*Further noting* that in the Political Declaration and Plan of Action on International Cooperation towards an Integrated and Balanced Strategy to Counter the World Drug Problem,<sup>j</sup> Member States called for continued cooperation among Member States, the International Narcotics Control Board and the World Health Organization to ensure the adequate availability of narcotic drugs and psychotropic substances under international control, including opiates, for medical and scientific purposes, while concurrently preventing their diversion into illicit channels, pursuant to the international drug control conventions,

*Acknowledging* the efforts of the World Health Organization, in consultation with the International Narcotics Control Board, to implement activities, under the Access to Controlled Medications Programme, to address impediments to the availability of internationally controlled substances for medical purposes,

*Noting with appreciation* the efforts of the International Narcotics Control Board and the World Health Organization to develop guidelines on estimating requirements for internationally controlled substances,

*Also noting with appreciation* the efforts of non-governmental organizations and civil society in continuing to highlight the importance of the issue of adequate availability of internationally controlled substances for medical and scientific purposes as set out in the international drug control conventions,

1. *Decides* that the agenda for the fifty-fourth session of the Commission will include an agenda item on adequate availability of narcotic drugs and psychotropic substances for medical and scientific purposes in accordance with the international drug control treaties, in order to examine the impediments to adequate availability encountered and the efforts to prevent the diversion and abuse of those drugs and substances;

2. *Calls upon* Member States to fulfil in a timely manner their reporting obligations to the International Narcotics Control Board and the Secretary-General, as appropriate, concerning the use of internationally controlled substances for medical and scientific purposes and the diversion of, trafficking in and abuse of those substances, as required under the international drug control treaties;

3. *Encourages* Member States to regularly examine, and report to the International Narcotics Control Board for inclusion in its annual report, trends in their countries in the use of internationally controlled licit substances for medical and scientific purposes, as well as trends in the diversion of, trafficking in and abuse of those substances and to take appropriate action, if necessary;

4. *Supports* recommendation 39 of the International Narcotics Control Board contained in its annual report for 2009,<sup>h</sup> in which the Board called on Governments to promote access to and rational use of narcotic drugs and psychotropic substances, to adopt measures against unlawful medical practice and to ensure that domestic distribution channels were adequately controlled, and Board recommendation 40, in which the Board requested Governments of countries in which factors such as knowledge limitations and administrative barriers stricter than the control measures required under the Single Convention on Narcotic Drugs

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<sup>j</sup> A/64/92-E/2009/98, sect. II.A.

of 1961<sup>k</sup> affected the availability of opioid analgesics to identify the impediments in their countries to the access and adequate use of opioid analgesics for the treatment of pain and to take steps to improve the availability of those narcotic drugs for medical purposes, in accordance with the pertinent recommendations of the World Health Organization;

5. *Encourages* Member States to include in public awareness campaigns, as appropriate, the issue of the increased risk of diversion of narcotic drugs and psychotropic substances and their abuse, particularly among young people;

6. *Also encourages* Member States, where necessary, to educate regulators and health-care professionals, including through targeted awareness-raising campaigns, to recognize that the medical use of narcotic drugs continues to be indispensable for the relief of pain and suffering and that adequate provision must be made to ensure the availability of narcotic drugs for such purposes, taking into account the pertinent recommendations of the World Health Organization and in line with the international drug control conventions;

7. *Supports* recommendation 22 of the International Narcotics Control Board contained in its annual report for 2009, in which the Board encouraged Governments concerned to introduce or expand programmes for monitoring the domestic distribution of prescription drugs and recommended that in order to reduce the problem of improper prescription practices, Governments should consider carrying out programmes, to be targeted appropriately, to inform health-care professionals and the general public of the dangers of misusing prescription drugs containing narcotic drugs and psychotropic substances; and noted that programmes for medical professionals should include information on the risk of diversion, including secondary access to prescribed medications by family members and friends of the intended user, appropriate prescription practices and attempts by individuals to illegally obtain prescriptions from multiple doctors through fraudulent methods (“doctor shopping”);

8. *Invites* the International Narcotics Control Board, as in previous years, to include in its annual report for 2010, to be presented to the Commission at its fifty-fourth session, information on the consumption of narcotic drugs and psychotropic substances used for medical and scientific purposes worldwide, including an analysis of impediments to their adequate availability and actions to be taken to overcome those impediments and, when available, specific information about the status of and progress made by countries;

9. *Requests* the United Nations Office on Drugs and Crime to continue its efforts to ensure the adequate availability of internationally controlled drugs for medical and scientific purposes, cooperating, as appropriate, through the Access to Controlled Medications Programme of the World Health Organization, while continuing its activities to prevent diversion and abuse;

10. *Encourages* Member States to consider working with the International Narcotics Control Board and the United Nations Office on Drugs and Crime to update policies and legislative frameworks, as appropriate, to ensure adequate availability of internationally controlled substances and to prevent the diversion and

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<sup>k</sup> United Nations, *Treaty Series*, vol. 520, No. 7515.

abuse of those substances, in line with the provisions of the international drug control treaties;

11. *Invites* Member States to ensure that the International Narcotics Control Board and the United Nations Office on Drugs and Crime are funded adequately, as appropriate, to support their activities to ensure adequate availability of narcotic drugs and psychotropic substances for medical and scientific purposes, including the development and implementation of guidelines to assist Governments in estimating their requirements for internationally controlled substances and to address the risk of the diversion and abuse of those substances;

12. *Also invites* Member States to consider ways to leverage existing health and development programmes in countries without adequate availability of narcotic drugs and psychotropic substances for medical and scientific purposes, including by building the capacity of those countries through training;

13. *Recognizes* that the Internet can offer increased access to information about narcotic drugs and psychotropic substances and can lead to the diversion of those substances, and accordingly invites Member States to consider the implementation of the International Narcotics Control Board *Guidelines for Governments on Preventing the Illegal Sale of Internationally Controlled Substances through the Internet*.<sup>1</sup>

*10th plenary meeting  
12 March 2010*

#### **E. Commission on Narcotic Drugs resolution 54/6: Promoting adequate availability of internationally controlled narcotic drugs and psychotropic substances for medical and scientific purposes while preventing their diversion and abuse**

*The Commission on Narcotic Drugs,*

*Recalling* its resolution 53/4, aimed at promoting adequate availability of internationally controlled drugs for medical and scientific purposes while preventing their diversion and abuse, in line with the Single Convention on Narcotic Drugs of 1961 as amended by the 1972 Protocol<sup>f</sup> and the Convention on Psychotropic Substances of 1971,<sup>a</sup>

*Acknowledging* the special report of the International Narcotics Control Board entitled *Report of the International Narcotics Control Board on the Availability of Internationally Controlled Drugs: Ensuring Adequate Access for Medical and Scientific Purposes*<sup>m</sup> and the World Health Organization document “Ensuring balance in national policies on controlled substances: guidance for availability and accessibility of controlled medicines”,<sup>n</sup>

*Noting with appreciation* the efforts of non-governmental organizations and civil society in continuing to highlight the importance of the issue of adequate

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<sup>1</sup> United Nations publication, Sales No. E.09.XI.6.

<sup>m</sup> Ibid., Sales No. E.11.XI.7.

<sup>n</sup> WHO/EDM/QSM/2000.4.

availability of internationally controlled substances for medical and scientific purposes, as set out in the international drug control conventions,

1. *Requests* the United Nations Office on Drugs and Crime, in consultation with the International Narcotics Control Board and the World Health Organization, to review and, where necessary, to update its model laws to ensure that they reflect an appropriate balance between ensuring adequate access to internationally controlled drugs and preventing their diversion and abuse, in line with the provisions of the international drug control conventions; internationally controlled drugs for medical and scientific purposes and the prevention of their diversion and abuse;

2. *Also requests* the United Nations Office on Drugs and Crime to develop a technical guide explaining the revised model laws to support training and awareness-raising activities for its personnel in regional and country offices and to ensure that the model laws are accessible and readily understood by Member States;

3. *Further requests* the United Nations Office on Drugs and Crime to conduct, for its personnel in regional and country offices, training and awareness-raising activities to promote adequate availability of internationally controlled drugs for medical and scientific purposes while preventing their diversion and abuse;

4. *Requests* the United Nations Office on Drugs and Crime and the International Narcotics Control Board to continue their efforts to ensure the adequate availability of internationally controlled drugs for medical and scientific purposes worldwide, cooperating as appropriate, through the Access to Controlled Medications Programme of the World Health Organization, while continuing their activities to prevent diversion and abuse;

5. *Encourages* the International Narcotics Control Board to continue its efforts, in cooperation with the World Health Organization, to develop guidelines to assist Member States in estimating their medical and scientific requirements for internationally controlled narcotic drugs and psychotropic substances;

6. *Encourages* Member States, as appropriate, to implement the recommendations contained in the special report of the International Narcotics Control Board entitled *Report of the International Narcotics Control Board on the Availability of Internationally Controlled Drugs: Ensuring Adequate Access for Medical and Scientific Purposes*;<sup>m</sup>

7. *Also encourages* the International Narcotics Control Board, with the support of Member States, to continue to provide assistance to competent national authorities, with the aim of improving national reporting of statistical data, the estimation of licit requirements for narcotic drugs and the voluntary assessment of licit requirements for psychotropic substances;

8. *Reiterates its call upon* Member States to fulfil in a timely manner their reporting obligations to the International Narcotics Control Board and the Secretary-General, as appropriate, concerning the use in their countries of internationally controlled narcotic drugs and psychotropic substances for medical and scientific purposes and the diversion of, trafficking in and abuse of those drugs and substances, as required under the international drug control conventions;

9. *Encourages* Member States to report to the International Narcotics Control Board data on the consumption of psychotropic substances for medical and scientific purposes in the same manner as for narcotic drugs, in order to enable the Board to analyse levels of consumption of psychotropic substances in an accurate manner and to promote their adequate availability;

10. *Also encourages* Member States to ensure the involvement and coordinated action of their relevant bodies and agencies responsible, inter alia, for health care, justice, drug regulation and law enforcement, with a view to defining, updating and achieving, through their respective national laws, policies and programmes, an appropriate balance between access to and availability of internationally controlled drugs for medical and scientific purposes and the prevention of their diversion and abuse;

11. *Invites* Member States, the United Nations Office on Drugs and Crime and relevant international organizations to facilitate the provision of technical assistance to developing countries, in particular developing countries seeking to improve the availability of internationally controlled drugs for medical and scientific purposes while preventing their diversion and abuse, including, where appropriate, through support for South-South cooperation;

12. *Invites* Member States and other donors to provide extrabudgetary resources for these purposes in accordance with the rules and regulations of the United Nations Office on Drugs and Crime;

13. *Requests* the Executive Director of the United Nations Office on Drugs and Crime to report to the Commission, at its fifty-fifth session, on the implementation of the present resolution.