INCB TOOLS AND RESOURCES ON IMPLEMENTING ARTICLE 12 OF THE 1988 CONVENTION

PEN Online and model forms invoking article 12, para 10 (a)

CNA Reference Material, including Information Package and ISSS

Annual Legitimate Requirements (ALRs), related guidance notes and e-learning module

Precursors Annual Report

Form D and Red List

PICS, Projects Cohesion and Prism

Precursors module in the UN Toolkit on Synthetic Drugs

© Issued September 2022
**KEY FACTS**

**What is it?**
PEN Online is an online tool (software); model forms A and B are templates Governments may use to request pre-export notifications for chemicals in Table I and II of the 1988 Convention, pursuant to article 12, para 10 (a) of that Convention.

**Who is it for?**
National authorities concerned with international trade in chemicals included in Table I and II of the 1988 Convention.

**When and why use it?**
PEN Online allows countries to exchange information on and verify the legitimacy of planned shipments of precursors included in the tables of the 1988 Convention. Importing Governments can request pre-export notifications from exporting countries for specific or all substances in the Tables of the Convention by submitting model forms A and B.

**How/where to access it?**
PEN Online brochure can be accessed here. This link will bring users to the login page of the PEN Online system. The model forms are available on the secure portal (scroll to bottom of page). A list of Governments that have requested to receive pre-export notifications and have invoked article 12, para 10 (a) is accessible here.

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**MAIN PURPOSE:**
Verification of the legitimacy of planned shipments and identification of suspicious transactions.

**COVERAGE:**
All substances listed in Table I and II of the 1988 Convention.

**TARGET AUDIENCE:**
Competent national authorities responsible for monitoring international trade in precursors.

**USE:**
Allows for real-time exchange and ongoing communication between Governments.

**REGISTERED USERS:**
Users from 166 countries* and territories, including all major exporting, importing and transit countries.

**ACCESSIBILITY:**
Via all common browsers and is free-of-charge to all registered users.

Governments can request to receive pre-export notifications for all or selected substances by submitting model forms A and B.

*As of September 2022
What is it?
Guidance and reference materials with restricted distribution, as well as contact details for operational focal points globally

Who is it for?
Competent National Authorities (CNAs), i.e. regulatory, law enforcement and other relevant national authorities empowered to regulate or enforce controls over precursors and essential chemicals

When and why use it?
The INCB secure portal includes useful material on precursors control, equipment and voluntary cooperation with industry. It houses the Information Package on the Control of Precursors, a comprehensive, regularly updated compendium consisting of trade control measures that Governments apply to substances in Tables I and II and under national control, the International Special Surveillance List (ISSL) of non-scheduled chemicals known to have been used in illicit drug manufacture, and INCB recommendations and international resolutions. Other reference materials relate to technical information on precursor chemicals, tariff codes, and control measures applicable to transportation companies.

How/where to access it?
Available on the INCB secure portal or on request for use by national authorities.

Annex and other reference materials
PICS User Manual and PEN Online User Manual | Harmonized system classifications of chemicals | Measures applicable to companies involved in the transportation of controlled substances | Model forms A and B to be used when requesting pre-export notifications

PART A
Tables on trade control measures applied by Governments for both internationally controlled and non-scheduled substances

PART B
List of non-scheduled substances used in illicit drug manufacture (ISSL) and recommended action for related industry cooperation

PART C
Resolutions of the Commission on Narcotic Drugs, Economic and Social Council and General Assembly relevant to the implementation by Governments of article 12 of the 1988 Convention

PART D
Summary of the recommendations of the International Narcotics Control Board relevant to the implementation by Governments of article 12 of the 1988 Convention

PART E
Information about PICS and PEN Online, including minimum action for sharing information about incidents on PICS and in trade monitoring through PEN Online

CONTENTS OF THE INFORMATION PACKAGE & CNA REFERENCE MATERIALS

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**Annual Legitimate Requirements (ALRs), related guidance notes and e-learning module**

**What is it?**
Estimates of annual legitimate requirements for imports of selected precursors and their preparations used in the illicit manufacture of amphetamine-type stimulants (ATS), related guidance documents and e-learning module.

**Who is it for?**
Regulatory authorities, law enforcement, other relevant national authorities empowered to regulate or enforce controls over precursors and essential chemicals.

**When and why use it?**
Governments provide, on a voluntary basis, estimates of legitimate requirements for imports of ephedrine, pseudoephedrine, 3,4-methylenedioxyphenyl-2-propanone (3,4-MDP-2-P) and 1-phenyl-2-propanone (P-2-P) and, to the extent possible, preparations containing those substances. ALRs are often the sole reference point for exporting countries on the amounts legitimately required by importing countries (refer **CND Resolution 49/3**).

**How/where to access it?**
ALRs are updated regularly and available on the INCB website [here](#). A guide on estimating requirements for internationally controlled substances is [here](#), and a guidance note on ephedrine and pseudoephedrine [here](#). The e-learning module is available on this [link](#).

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**SUBMISSION OF ALRS AND THEIR AMENDMENTS**

**GOVERNMENTS**

- Establish ALRs
- Fill-in Form D
- Submit ALRs*
- Reviews ALRs
- Publishes ALRs

**INCB**

- Taking into account the most recent market conditions in the respective country
- Review guide on establishing and determining ALRs [here](#) and specifically for ephedrine and pseudo-ephedrine [here](#)
- Consider enrolling in INCB’s informative e-learning module

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**FORM D**
Annual information on Substances Frequently Used in the Illicit Manufacture of Narcotic Drugs and Psychotropic Substances

**On Form D by 30 June** of the year preceding the year to which the estimated requirements relate

* Or amendments. Note that amendments can also be made throughout the year, by official correspondence from Governments.

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ALRs are **NOT approved** by INCB

- INCB’s [Website](#)
- INCB’s [Annual Report on Precursors](#)
- INCB’s [Pre-Export Notification System](#) (only for registered users)
**What is it?**
Flagship report

**Who is it for?**
Regulatory authorities, law enforcement, other national authorities and general public

**When and why use it?**
The report, published in March of each year, provides an overview of achievements, progress and challenges of international precursor control and actions taken to implement article 12 of the 1988 Convention and to strengthen the functioning of the international precursor control system in any given year. The report provides a detailed account of the latest trends and developments in legitimate international trade and in trafficking in precursors under international control, as well as their non-scheduled substitutes and alternatives. It provides recommendations to Governments on the way forward for effective international and domestic precursor control.

**How/where to access it?**
Available on the INCB website [here](https://www.incb.org).

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**THEMATIC CHAPTERS IN INCB’S REPORTS ON PRECURSORS**

- **2011**
  - 20 Years of international precursor control: achievements and progress (read [here](https://www.incb.org))

- **2012 - 2013**
  - Challenges in international precursor control (read [here](https://www.incb.org))
  - Action to enhance international precursor control (read [here](https://www.incb.org))

- **2014**
  - Making precursor control fit for 2019 and beyond (a contribution to UNGASS 2016) (read [here](https://www.incb.org))

- **2015**
  - Public-private partnerships: their merits and potential in preventing the diversion of chemicals (read [here](https://www.incb.org))

- **2016**
  - Prevention of chemical diversion beyond regulatory controls: the role of law enforcement (read [here](https://www.incb.org))

- **2017**
  - Internet-facilitated trade in precursors (read [here](https://www.incb.org))

- **2018**
  - Options to address the proliferation of non-scheduled “designer” precursors at the international level (read [here](https://www.incb.org))

- **2019**
  - Article 13 of the 1988 Convention as a complementary tool in addressing illicit drug manufacture (read [here](https://www.incb.org))

- **2020**
  - Impact of the coronavirus disease (COVID-19) on licit and illicit activities related to precursors (read [here](https://www.incb.org))

- **2021**
  - Domestic controls: the extent of utilization of the provisions of article 12, paragraph 8, of the 1988 Convention (read [here](https://www.incb.org))
**Form D and Red List**

**What is it?**
Form D is INCB’s tool to collect annual precursors statistics from Governments; the Red List is a reference tool aimed assisting authorities in the identification of internationally controlled precursors.

**Who is it for?**
Regulatory authorities, law enforcement, other relevant national authorities empowered to regulate or enforce controls over precursors and essential chemicals.

**When and why use it?**
Form D is used by competent national authorities to report annual information on substances frequently used in the illicit manufacture of narcotic drugs and psychotropic substances to INCB. The information informs the INCB Precursors Annual Report. The Red List lists all substances in Table I and II of the 1988 Convention. It contains their chemical names, synonyms and known trade names, as well as chemical abstract service (CAS) numbers and harmonized system (HS) codes.

**How/where to access it?**
Available in six United Nations languages, Form D can be accessed here and the Red List here.

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**OVERVIEW OF FORM D AND RED LIST**

**PART ONE (MANDATORY)**
1. Seizures of substances in Tables I and II of the 1988 Convention
2. Substances not in Tables I or II but used in illicit manufacture
3. Methods of diversion and illicit manufacture
4. Stopped shipments and thefts of scheduled and non-scheduled substances (optional)

**PART TWO (VOLUNTARY)**
1. Licit trade (Table I and II substances)
2. Licit uses & needs (Table I and II substances)

**PART THREE (VOLUNTARY)**
Contact details of the Competent National Authorities (CNAs)

*to be submitted, preferably in Excel format, by 30 April, but no later than 30 June of each year.

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**FORM D**

**PART ONE**
1. List of substances in Tables I and II of the 1988 Convention in English, French and Spanish
2. Harmonized System (HS) codes
3. Chemical Abstract Service (CAS) registry numbers

**PART TWO**
Chemical names
Synonyms
Trade names

**PART THREE**
Conversion factors (salt forms to anhydrous base)
What is it?
The Precursors Incident Communication System (PICS) is an online tool for intelligence sharing. Projects Cohesion and Prism are INCB’s initiatives fostering international cooperation and operations related to precursors.

Who is it for?
Regulatory authorities, law enforcement and other agencies involved in effecting seizures or investigating diversion of chemicals and equipment for illicit drug manufacture.

When and why use it?
PICS is a secure online tool to enhance real-time communication and information sharing between national authorities on precursor and equipment incidents and suspicious transactions. It can assist with investigations and the identification of emerging chemicals and diversion patterns. Projects Cohesion and Prism focal point networks support investigations related to chemicals used in illicit manufacture of, respectively, cocaine and heroin, and amphetamine-types stimulants and other synthetic drugs. Alerts on emerging threats and substances are regularly shared with this network. The projects are steered by the INCB Precursor Task Force.

How/where to access it?
PICS is accessible on a secure website for registered users. New Government users should register at incb.pics@un.org. Information on Projects Cohesion and Prism is here; focal points are listed on the secure portal and updates can be made using the following form. *As of September 2022

**INCB’S INTERNATIONAL COOPERATION FRAMEWORK**

**PICS, Projects Cohesion and Prism**

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Regulatory authorities, law enforcement and other agencies involved in effecting seizures or investigating diversion of chemicals and equipment for illicit drug manufacture.

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**PRECURSORS INCIDENT COMMUNICATION SYSTEM (PICS)**
Online tool with over 600+ users* for intelligence sharing in real-time, its 3,500+ published incidents* allow for timely investigation and backtracking activities.

**PROJECTS COHESION AND PRISM FOCAL POINTS**
Global network of over 300+ focal points*, which fosters international cooperation and exchange of information, and provides a platform for time-bound intelligence-gathering operations.

**TIMELY SPECIAL ALERTS**
Sent to focal points on emerging precursor threats, modi operandi and new substances.

**INCB PRECURSORS TASK FORCE**
Consists of representatives of key countries with regard to heroin, cocaine and/or synthetic drug precursors and regional and international organizations, directs the activities of Projects Cohesion and Prism.*As of September 2022

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Precursors Module of the UN Toolkit on Synthetic Drugs

**What is it?**
Website with reference materials

**Who is it for?**
Regulatory authorities, law enforcement and other national authorities concerned with precursor-related matters, international organizations and general public

**When and why use it?**
The precursors module of the Toolkit was developed by INCB and is a one-stop shop providing a range of electronic resources and practical application tools about drug precursors and the international precursor control system, specifically on (1) the monitoring of legitimate international trade and (2) investigations into suspicious shipments, attempted diversions and seizures of precursors.

**How/where to access it?**
Online, available [here](#).

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**OVERVIEW OF THE TOOLKIT**

**STRIKING A BALANCE BETWEEN**

**Diversion prevention**
- What is the procedure for placing chemical(s) under international control?
- What tools are available to prevent the diversion of chemicals?
- What are the latest trends in global precursors trade and trafficking?

**Availability for legitimate uses**
- How is international legitimate trade in precursors monitored?
- How does one estimate legitimate needs for chemicals?
- What is the role of private industry in global precursor control?