



INTERNATIONAL NARCOTICS CONTROL BOARD  
Psychotropics Control Section

## CONVENTION ON PSYCHOTROPIC SUBSTANCES OF 1971

Training material for competent  
national authorities

Module III.

### International trade in psychotropic substances



UNITED NATIONS

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## Foreword

The present training material has been prepared by the International Narcotics Control Board (INCB) to help Governments better understand and comply with the provisions and requirements of the Convention on Psychotropic Substances of 1971 and related resolutions of the Economic and Social Council and the Commission on Narcotic Drugs. It comprises four modules:

**Module I**      **International control and availability of psychotropic substances**

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**Module II**     **Assessment system for psychotropic substances**

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**Module III**    **International trade in psychotropic substances**

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**Module IV**    **Guidelines on the preparation of annual and quarterly reports**

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The present module is intended to help Governments ensure that psychotropic substances can be traded without delays. It contains explanations and details related to import and export, as well as on exempted preparations and prohibitions allowed under the 1971 Convention and related resolutions. Examples and guidance on how to prepare and report annual trade statistics are provided in module IV. In conjunction with the present module, the latest versions of the following forms and the Green List are available to competent national authorities on the INCB website ([www.incb.org](http://www.incb.org)):

- List of psychotropic substances under international control (Green List)
- Annual statistical report on substances listed in the Convention on Psychotropic Substances of 1971 (form P)
- Quarterly statistics on imports and exports of substances in Schedule II of the Convention on Psychotropic Substances of 1971 (form A/P)

Competent national authorities are also encouraged to consult the INCB technical report on psychotropic substances, entitled *Psychotropic Substances: Statistics for [...]; Assessments of Annual Medical and Scientific Requirements for Substances in Schedules II, III and IV* (available on the INCB website), which provides a detailed analysis of annual trends in the manufacture, stocks, trade and consumption of psychotropic substances that have had significant presence on the licit market, as well as additional information on new developments.

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## CHAPTER I.

# International trade in psychotropic substances

## A. Introduction to the provisions on international trade in psychotropic substances

The framework of control that the Convention on Psychotropic Substances of 1971<sup>1</sup> requires Governments to establish is directed at protecting public health and welfare. The international community, in enacting the treaty, recognized that the use of psychotropic substances for medical and scientific purposes was indispensable and that their availability for such purposes should not be unduly restricted, while also recognizing the need to prevent the diversion of those substances.

Under article 5 of the 1971 Convention, the export and import of all psychotropic substances, as well as trade in and the manufacture, distribution, holding of stocks, use and possession of those substances, 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.

To recall, 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 may 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 it may be executed by other means that conform to the constitutional and administrative structure of a Government.

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

<sup>2</sup>United Nations, *Treaty Series*, vol. 520, No. 7515.

<sup>3</sup>United Nations, *Treaty Series*, vol. 976, No. 14151.

## B. Controls on international trade

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.

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 models established by the Commission on Narcotic Drugs (see the models in annexes III and IV to the present module).

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 that requirement by exporting countries (see annex V for the model export declaration).

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. Control measures applicable to substances listed under Schedules III and IV were adopted through resolutions of the Economic and Social Council and are described in the paragraphs below.

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. 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.

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, as 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 as reported to INCB. For import as well as for export authorizations, the Convention requires States parties to use forms established by the Commission on Narcotic Drugs.

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 made available by INCB to all competent authorities and is also available on the INCB website, in the section with access restricted to governmental authorities only.

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 authorizations (see *Competent National Authorities under the International Drug Control Treaties: [...]*, updated annually) and that the quantities required to be imported are within the legitimate requirements of the importing country (for information on the assessment system, see module II).

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 to have such an order reconfirmed by the authorities of the importing country.

The United Nations Convention against Illicit Traffic in Narcotic Drugs and Psychotropic Substances of 1988<sup>4</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 must 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 must 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 must require that consignments of narcotic drugs and psychotropic substances are not mislabelled.

As mentioned in the paragraph earlier on import authorizations, INCB publishes a list showing the countries and territories whose 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.

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<sup>4</sup>United Nations, *Treaty Series*, vol. 1582, No. 27627.

## C. Assistance with verification of import/export certificates

At the request of Governments of exporting countries, the Board continues to provide assistance in verifying the authenticity of import authorizations and the legitimacy of import transactions involving psychotropic substances. In those cases where the INCB secretariat is not able to confirm the authenticity of import documents by comparing the import certificates with the samples of import authorizations provided by Governments to and kept on record by the Board, the secretariat contacts the authorities of the importing countries for verification.

The secretariat monitors international trade in psychotropic substances to ensure that all Governments adequately apply the control measures of the 1971 Convention and the related Economic and Social Council resolutions, and to identify the cases of diversion or attempted diversion of psychotropic substances into illicit channels, if applicable. To this end, the secretariat routinely looks into statistical discrepancies between import and export data received from Governments on form P to assist Governments in detecting potential diversion cases. The Board examines only those cases in which both the importing and the exporting country submit their full statistics, but those statistics do not match. In many cases, discrepancies in statistics on imports and exports reported by Governments simply result from clerical errors.

## D. Exemption of preparations

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 that 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 I).

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.

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 scope of the international trade controls applicable to the preparation's base substance.

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.

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 the World Health Organization (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 must notify the Secretary-General and furnish him or her 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.

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 in achieving 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 advertising of psychotropic substances to the general public (art. 10, para. 2);
- (c) Requirements relating to international trade in psychotropic substances (art. 12).

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.

## E. International Import and Export Authorization System

The International Import and Export Authorization System (I2ES) is an online platform developed by the International Narcotics Control Board with the support of the United Nations Office on Drugs and Crime (UNODC).

Competent national authorities can issue electronic import and export authorizations for narcotic drugs and psychotropic substances on I2ES in compliance with the international drug control treaties. Free of charge, I2ES can expedite communication among competent national authorities and reduce dependency on postal services because import and export authorizations are available online.

Against the backdrop of a global trend towards digital government, these solutions could reduce costs and improve efficiency, while at the same time being more environmentally friendly. I2ES equips Governments with a paperless system that supports the issuance and exchange of electronic import and export authorizations for controlled substances.

For more information and registration to access the platform, visit [www.incb.org](http://www.incb.org).

## F. Reports to the International Narcotics Control Board

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.

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.

To assist Governments in complying with the reporting requirements, each year INCB publishes the “Green List”, which contains the names of all psychotropic substances under international control. 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.

Under the 1971 Convention and the above-mentioned Economic and Social Council resolutions, countries are required to submit statistics on international trade on a quarterly (Schedule II substances) and annual (all substances) basis.

The table below shows the frequency of submission and submission dates for the forms used to report statistics on international trade.

Form	Name	Frequency of submission	Submission date
Form P	Annual statistical report on substances listed in the 1971 Convention	Annually	30 June each year
Form A/P	Quarterly statistics on imports and exports of substances listed in Schedule II of the 1971 Convention	Quarterly	End of each quarter

Detailed information on how to fill in forms P and A/P is provided in module IV of the present training material.

The statistical reports submitted by countries 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, as well as an analysis of substances with significant presence on the licit market each year, is published annually by INCB in the electronic version of *Psychotropic Substances: Statistics for [...]* (available at [www.incb.org](http://www.incb.org)), in a form allowing comparisons over time and between countries. 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.

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 international trade.

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

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 UNODC that assistance be given to Governments in support of their efforts to comply with their treaty obligations.

In discharging its functions, INCB must act in a way that is consistent with its duty to provide for an ongoing dialogue with Governments. 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 office of the INCB secretariat in Vienna, in regional seminars for officials of several countries or in seminars in countries that request such training or face specific problems in applying the international drug control conventions.



## CHAPTER II.

# Guidelines for competent national authorities on article 13 of the Convention on Psychotropic Substances of 1971

## A. Article 13 of the 1971 Convention

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

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

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.

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, in particular 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.

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 countries will face severe penalties.

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

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

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

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**

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 II). The form contains all the necessary details and should be filled in carefully.

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**

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 substance is not exported to that country.

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

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 [Section II.A](#)). 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**

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**

Governments that encounter difficulties in taking advantage of article 13 or that have additional queries should contact the appropriate regional office of UNODC or the INCB secretariat in Vienna.

# Annex I

## 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 Convention on Psychotropic Substances of 1971*

The Government of \_\_\_(Name of State)\_\_\_\_\_, being a party to the Convention on 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 (INN) 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 \_\_\_\_\_(Name of State)\_\_\_\_\_ hereby notifies the Secretary-General in the terms of article 3, paragraph 3, of the Convention on Psychotropic Substances of 1971 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 as necessary.

(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 will 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

\_\_\_\_\_  
\* Delete as necessary.

# Annex II

## 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 Convention on Psychotropic Substances of 1971 and/or a preparation containing such a substance*

The Government of \_\_\_\_\_ (*Name of State*) \_\_\_\_\_, being a party to the Convention on Psychotropic Substances of 1971, hereby notifies the Secretary-General that, with effect from \_\_ (*Date*) \_\_\_\_\_, it has decided to prohibit the import, into its country\* 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 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>	<i>Name and exact chemical composition of the preparation</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.

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

\* Delete as necessary.

substance(s)\* and the preparation(s)\* 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 in article 13, paragraph 3, of the Convention will apply.

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

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

### **Import authorization\*\***

*Import authorization No. ...*

- I. On behalf of the Government of \_\_\_\_\_ (*Name of State*) \_\_\_\_\_, the undersigned, empowered by the competent authority, in the meaning of 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 annexed to 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 an import of (a) substance(s) listed in Schedule I\*\*\* and/or\*\*\* 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 the substance(s) authorized to be imported:

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

4. In the case of an import of (a) preparation(s) containing (a) substance(s) listed in Schedule I\*\*\* and/or\*\*\* 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):

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

\* 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 as necessary

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

\_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

\*\*\* II. In the case of an import related to a consignment to be delivered to a bonded warehouse

*Note:* Prohibited with regard to substances or preparations listed in Schedule I.

The delivery to the following bonded warehouse of the consignment to be imported as specified in section I above is hereby approved:

(a) Name: \_\_\_\_\_

(b) Address: \_\_\_\_\_

III. Expiration date:

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

\_\_\_\_\_ (Place) \_\_\_\_\_ (Date of) \_\_\_\_\_

\_\_\_\_\_ (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 must 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 must 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 ingredients is required.
4. Please specify on the import authorization if the imported quantity or part of it (in this case please specify the quantity) will be used for re-export to other countries or territories.

# Annex IV

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

### **Export authorization\*\***

*Export authorization No. ...*

- I. On behalf of the Government of \_\_\_\_\_ (*Name of State*), the undersigned, empowered by the competent authority, in the meaning of 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 annexed to 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 \_\_\_\_\_ (*Name of the importing country*), which the exporter presented to the undersigned, the following export:

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(s) listed in Schedule I\*\*\* and/or\*\*\* 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 as necessary

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

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\*\*\* 4. In the case of an export of (a) preparation(s) containing (a) substance(s) listed in Schedule I\*\* and/or \*\*\* 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 exported:

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

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

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

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\*\*\*II. In the case of an export related to a consignment to be delivered to a bonded warehouse

*Note:* Prohibited with regard to substances or preparations listed in Schedule I.

The delivery to the following bonded warehouse of the consignment to be exported as specified in section I above is hereby approved:

- (a) Name:

---

- (b) Address:

---

III. Expiration date

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

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

---

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

*Notes:*

1. One copy of this export authorization must accompany the consignment. The competent authority of the Government having issued this export authorization must send a copy to the competent authority of the Government of the importing country or region which, when the importation has been effected, must return the export authorization, with an endorsement certifying the amount actually imported, to the competent authority of the Government of the exporting country or region.
2. The information required must 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 ingredients is required.

# Annex V

## 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 an export of (a) substance(s) listed in Schedule III:

(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:

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

\*\*\*4. In the case of an export of (a) preparation(s) containing (a) substance(s) 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 (a) substance(s) in the Schedule:

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

\* 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 as necessary.

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

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

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

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

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5. Date of dispatch:

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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.

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(Place)

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(Date)

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(Signature of exporter)

*Notes:*

- Two copies of the above declaration must be submitted immediately by the exporters to the competent authorities of their country or region, and a third copy must 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.
- The information required must 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 ingredients is required.
- A party from whose territory the substance has been exported must 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.





**INTERNATIONAL NARCOTICS CONTROL BOARD**  
**Psychotropics Control Section**