



ORGANIZATION OF AMERICAN STATES



CICAD

Comisión Interamericana para el Control del Abuso de Drogas

Inter-American Drug Abuse Control Commission

MULTILATERAL EVALUATION MECHANISM

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**Questionnaire
Second Evaluation Round
2001 - 2002**

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1

Implementation of a national anti-drug plan/strategy

INSTITUTION BUILDING

PURPOSE OF INDICATOR:

TO ESTABLISH A FRAMEWORK TO GUIDE ALL ANTI-DRUG ACTIVITIES

A. What is the current status of your national anti-drug plan/strategy⁽¹⁾?

- 1. Non-existent (Please continue to Indicator 2)
- 2. Being drafted
- 3. Drafted but pending approval
- 4. Approved

B. If your plan/strategy has been approved, please provide the following details:

| Date of Approval | Date of Initiation | Date it will Expire |
|------------------|--------------------|---------------------|
| | | |

C. The National Anti-drug Plan/Strategy is approved by:

- 1. Head of State/Government;
- 2. Congress/ National Assembly;
- 3. Central Coordinating Authority;
- 4. Other (specify)

D. Please indicate which of the following areas it covers:

| | Y | N | |
|----|--------------------------|--------------------------|--|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Demand Reduction ⁽²⁾ |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Supply Reduction ⁽³⁾ |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Alternative Development ⁽⁴⁾ |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Control Measures ⁽⁵⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Institutional Framework ⁽⁶⁾ |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Program Evaluation ⁽⁷⁾ |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Others |

E. If the National Anti-drug Plan/Strategy covers budget ⁽⁸⁾ needed by area, please provide the following quantitative information:

| | Area | Proposed budget ⁽⁹⁾ (US\$) | Approved budget ⁽¹⁰⁾ (US\$) | * (A) | * (B) | * (C) |
|----|-------------------------|---------------------------------------|--|-------|-------|-------|
| 1. | Demand Reduction | | | | | |
| 2. | Supply Reduction | | | | | |
| 3. | Alternative development | | | | | |
| 4. | Control Measures | | | | | |
| 5. | Total Budget | | | | | |

- * (A) Percentage of approved budget from national resources
- * (B) Percentage of approved budget from international resources
- * (C) Percentage of budget which relates to total government budget

F. Observations:

G. Agency providing information:

H. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **National Anti-drug Plan/Strategy** means the instrument that summarizes national policies, defines priorities, assigns responsibilities to the institutions that plan, coordinate, and develop the integral prevention of the illicit use and traffic of drugs, as well as related offenses. It also identifies the economic resources needed for its implementation and control system; as well as follow up and evaluation of institutional efforts.

(2) **Demand Reduction** includes drug abuse prevention programs for all cross sections of the general population and high-risk groups, as well as treatment and rehabilitation of drug addicts, and programs/measures to reduce harm to health caused by drugs.

(3) **Supply Reduction** refers to activities focused on reducing the availability of illicit drugs. This involves law enforcement, regulatory control and interdiction activities carried out by police, Customs, administrative entities, Coast Guard and others.

(4) **Alternative Development**, as defined by the CICAD Experts Group, is "a process to prevent and eliminate illicit cultivation of plants containing narcotic drugs and psychotropic substances through specifically designed rural development measures in the context of sustained national economic growth and sustainable development efforts in countries taking action against drugs, recognizing the particular socio-cultural characteristics of the target communities and groups, within the framework of a comprehensive and permanent solution to the problem of illicit drugs."

(5) **Control Measures** are the laws and regulations that govern all aspects of the drug issue.

(6) **Institutional Framework** identifies the different agencies, private and public, responsible for carrying out the activities corresponding to each area.

(7) **Program Evaluation** identifies the mechanisms established to evaluate all programs set forth in the national anti-drug plan/strategy and their results.

(8) **Budget** means the amount needed by each area. The plan should represent their total.

(9) **Proposed Budget** is the budget proposed by the agency in order to be able to implement the different activities and projects in each area.

(10) **Approved Budget** is the budget that has been approved by the government for the agency to implement the different activities and projects in each area.

2

Attributes of the central coordinating authority

INSTITUTION BUILDING

PURPOSE OF INDICATOR:

TO ESTABLISH A FRAMEWORK TO COORDINATE ALL INTER-INSTITUTIONAL ANTI-DRUG ACTIVITIES

A. 1. Is the coordination of the implementation of the national anti-drug plan/strategy carried out by a central authority ⁽¹⁾?

Y N

If yes, please continue to A3

2. If no, please indicate the existing anti-drug activity coordination.

3. Does the central coordinating authority operate nationally and/or along with regional/state/provincial offices?

B. Please cite:

1. The legal basis of the coordinating authority, or mechanism;

2. The institutions and authorities that make up the authority or mechanism;

3. If the central coordinating authority has a central office (e.g. an Executive Secretariat) to carry out its mandates.

Y N

C. Please indicate which of the following activities are coordinated:

| | Y | N | |
|----|--------------------------|--------------------------|--|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Demand reduction |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Supply reduction |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Alternative development |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Control measures |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Information and statistics related to the drug problem |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Planning of national anti-drug plan activities |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Evaluation of institutional efforts |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Coordination of International Assistance |

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Central Coordinating Authority or National Drug Commission/Council** refers to the government body that carries out the functions of advising and coordinating the planning and execution of the National Anti-Drug Plan/Strategy. Its responsibilities may include, among others, the coordination of the implementation of prevention, treatment, technical assistance, alternative development, supply reduction, control measures and the application of the law; and facilitating international assistance in this area. It may also compile, process, and supply statistics and other data related to the drug problem.

3

Budget for the central coordinating authority

INSTITUTION BUILDING

PURPOSE OF INDICATOR:

TO ESTABLISH A FINANCIAL STRUCTURE TO COORDINATE ALL ANTI-DRUG ACTIVITIES

A. 1. Is there a budget ⁽¹⁾ for the central coordinating authority?

Y N

If yes, please continue to B1

2. If no, please explain how the activities of the central coordinating authority are financed.

B. 1. Is the budget integrated with the budget of another government agency or independent?

a. Integrated

b. Independent

2. What are the sources for your budget?

| | | | |
|----|--------------------------|--------------------------|---|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value="Government Allocation <sup>(2)</sup>"/> |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value="Self-financing (Application of the Law) <sup>(3)</sup>"/> |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value="Civil Society contributions <sup>(4)</sup>"/> |
| d. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value="Others"/> |

C. If there is a budget for the central coordinating authority, please indicate the figure allocated to the central coordinating authority for the following years:

| Year | Proposed budget (US\$) (5) | Approved budget (US\$) (6) | *(A) | *(B) | *(C) | *(D) | *(E) | Total Budget (US\$) (7) |
|---------|-------------------------------|----------------------------|------|------|------|------|------|-------------------------|
| 1. 2000 | | | | | | | | |
| 2. 2001 | | | | | | | | |
| 3. 2002 | | | | | | | | |

- *(A) Percentage of Government allocation
- *(B) Self-financing percentage
- *(C) International contribution percentage
- *(D) Civil society contribution percentage
- *(E) Percentage of budget that relates to total government budget

D. 1. Is there a formal mechanism in place to evaluate the adequacy of the budget in relation to the central coordinating authority's responsibilities?

Y N

2. If the answer is "yes", what mechanisms or criteria are used to assess the budget's adequacy?

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS AND EXPLANATIONS:

- (1) A **budget** for the central coordinating authority is one that facilitates the administration of its structure, functions, and obligations, (e.g., information and statistics related to the drug problem; follow up and evaluation of institutional efforts) according to its regulations; as well as any operational activities that might be included in its mandates. This budget is not meant to cover the cost of specialized agencies in the areas of demand reduction, supply reduction, alternative development and control measures.
- (2) **Government Allocation** refers to the part of the operational budget that is funded by money given to the Central Coordinating Authority by the specific government office that oversees its activities.
- (3) **Self-financing (Application of the Law)** is specific funds assigned under the law apart from those allocated within the approved budget, for example, proceeds from the confiscation of goods, fines, contributions, and taxes/rates.
- (4) **Civil Society contributions** are financial assistance or in-kind donations for the execution of activities or projects.
- (5) **Proposed Budget** is the budget proposed by the agency to its government in order to be able to implement the different activities and projects in each area.
- (6) **Approved Budget** is the budget that has been approved by the government for the agency to implement the different activities and projects in each area.
- (7) **Total Budget** is the total operating budget of the central coordinating authority, including all contributions from the civil society, international contributions, and self-financing.

4

Ratified international conventions

PURPOSE OF INDICATOR:

TO ESTABLISH A LEGAL FRAMEWORK TO GUIDE ALL ANTI-DRUG ACTIVITIES

- A. Which of the following international conventions concerning drugs and related problems has your country signed / ratified ⁽¹⁾ during the last year.

| | Convention | Date of Signing | Date of Ratification |
|----|--|-----------------|----------------------|
| 1. | a. UN Convention Against Transnational Organized Crime, 2000 | | |
| | b. Protocol to the above Convention against the Smuggling of Migrants by Land, Sea and Air. | | |
| | c. Protocol to the above Convention to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children. | | |
| | d. Protocol to the above Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition. | | |
| 2. | Inter-American Convention Against Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and other Related Materials, 1997 | | |
| 3. | Inter-American Convention Against Corruption, 1996 | | |
| 4. | Inter-American Convention on Mutual Assistance in Criminal Matters, 1992 | | |
| 5. | UN Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 | | |
| 6. | UN Convention on Psychotropic Substances, 1971 | | |
| 7. | UN Single Convention on Narcotic Drugs, 1961 as amended by the 1972 Protocol | | |

B. Please indicate any reservations⁽²⁾ made by your country to any of the above treaties.

C. 1. Has your country enacted legislation in accordance with the aforementioned international conventions?

Y **N**

2. If yes, please indicate the thematic area covered, and the pertinent international instrument.

| Legislation | Thematic Area | International Instrument |
|-------------|---------------|--------------------------|
| | | |

D. 1. Is there a follow-up mechanism in place to assess the effective application of the mandates established in the international conventions?

Y **N**

2. If the answer is yes, please indicate the mechanisms used:

Y **N**

a.

b.

c.

d.

E. Indicate the countries with which cooperation agreements have been signed by your country in the context of the aforementioned international conventions:

| Signed agreement | Country | International instrument context |
|------------------|---------|----------------------------------|
| | | |

F. Observations:

G. Agency providing information:

H. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Ratification** means the formal confirmation subsequent to signature by a state that it is bound by a treaty. It includes "accession", "acceptance" or "approval", formal measures that communicate the express consent of a state to be bound by the treaty.

(2) **Reservation** means a unilateral statement made by a state upon signature or ratification of a treaty that the state is opting out from the application of a certain provision or provisions thereof.

5

Data collection capacity

PURPOSE OF INDICATOR:

TO PROMOTE A COUNTRY'S CAPACITY FOR COLLECTING AND ANALYZING DRUG-RELATED STATISTICS AND OTHER INFORMATION

- A. 1. Does your government have a centralized office at the national/Federal level ⁽¹⁾ (e.g., a "national observatory on drugs ⁽²⁾" or similar) that organizes, compiles and coordinates drug-related statistics and other information?

Y N

2. If yes, give name of office and contact point:

3. If no, please indicate how your government gathers and reports drug-related statistics:

- B. 1. Does your country use CICAD's Inter-American Uniform Drug Use Data System (SIDUC) to collect, analyze and report statistics on drug consumption?

Y N

2. If no, please indicate the methods and instruments used by your country:

C. 1. Does your country use CICAD's data system (CICDAT) to collect and report statistics on supply-side control?

Y N

2. If no, please indicate the methods used by your country:

D. Does your government report drug-related statistics on a regular basis (each year) to the following:

| | | | |
|----|--------------------------|--------------------------|--|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value="International Narcotics Control Board"/> |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="text" value="UNDCP Annual Reports Questionnaire"/> |

E. 1. Does your government publish an annual report on drug-related statistics?

Y N

2. If yes, please provide title of report and bibliographical reference:

F. 1. Is there a formal mechanism in place to evaluate the effectiveness of your country's data collection capacity?

Y N

2. If yes, what mechanisms or criteria are used to assess the effectiveness of these means?

G. What obstacles does your government encounter in collecting and analyzing drug-related statistics?

H. Observations:

I. Agency providing information:

J. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) Some member states collect drug-related statistics at the State/Provincial or city level. If that is the case in your country, please so indicate in question A above.

(2) A **National Observatory on Drugs** is aimed primarily at enhancing countries' capacity to collect and analyze drug-related statistics, conduct surveys, carry out cross-disciplinary analyses of supply and demand data, and apply research findings to policy and practice, as well as improving countries' capabilities for collecting, organizing and disseminating drug-related information (documents, books, etc.) to support their national programs.

6

Information distribution capacity

PURPOSE OF INDICATOR:

TO PROMOTE THE COUNTRY'S CAPACITY TO INFORM POLICY-MAKERS AND THE GENERAL PUBLIC ABOUT THE DRUG PROBLEM

A. How does your government distribute publicly available (non-classified) publications and materials related to the drug problem? (indicate all that apply)

1. Web page (s)
2. National Congressional Record/Official Gazette
 - a. Paper copy
 - b. Web page
3. Libraries
4. Schools/universities/research institutes
5. National journals
6. Press/media ⁽¹⁾
7. Targeted e-mail, fax service or List serve ⁽²⁾
8. Publications and reports by the National Drug Commission and other government agencies
9. Other (describe) ⁽³⁾

B. 1. Does your government operate a "Help Line", information desk or similar that provides drug-related information to the general public?

Y N

2. If yes, please describe the nature of the service and an estimate of the number of people using it:

C. Does your government distribute information on prevention, treatment and rehabilitation programs?

Y N

D. 1. Has your government developed innovative or more successful ways of providing drug-relating information to particular target audiences?

Y N

2. If yes, please describe briefly:

E. 1. Does your country use this information in addressing the drug problem?

Y N

2. If yes, please describe briefly:

F. Observations:

G. Agency providing information:

H. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Press/media** includes press conferences/press releases.

(2) A **List serve** is an e-mailing list for special interest groups where registered members of the group can exchange and post information about a particular topic.

(3) May include TV and radio spots, posters, leaflets, etc.

7

Implementation of a National Demand Reduction Strategy or Plan, as part of the National Anti-drug Plan

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS DEGREE OF IMPLEMENTATION OF THE NATIONAL STRATEGY OR PLAN ON DEMAND REDUCTION

A. 1. Is your country implementing its National Demand Reduction Strategy or Plan ⁽¹⁾?

Y N

2. If yes, please indicate:

a. Date of approval:

b. Name of Strategy or Plan:

c. Areas covered:

| | | |
|--------------------------------------|--------------------------|--------------------------|
| | Y | N |
| 1. Prevention | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Treatment | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Social Reinsertion and after care | <input type="checkbox"/> | <input type="checkbox"/> |

3. Does it incorporate the Declaration on the Guiding Principles of Demand Reduction and its Plan of Action adopted by the UN?

Y N

4. If no, please indicate whether your government has plans to introduce a national demand reduction strategy in the next year:

Y N

B. Please list those institutions that participate in carrying out the national demand reduction strategy or plan:

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) A **national demand reduction strategy or plan** would normally encompass drug abuse prevention, treatment, rehabilitation, aftercare and programs and measures to reduce the health problems caused by drugs.

8

Existence of a National Demand Reduction Strategy Budget

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS THE FINANCING OF THE NATIONAL DEMAND REDUCTION STRATEGY OR PLAN

A. 1. Does your National Demand Reduction Strategy have a national budget ⁽¹⁾ ?

Y N

In the absence of an approved budget please indicate how these areas are covered. (Please detail in section B. Observations below)

2. If yes, please indicate which of the following areas it covers:

| | Y | N | Areas covered | Total resources allotted for the period covered | | | Collaboration with other Agencies or NGOs ⁽²⁾ |
|----|---|---|---|---|------|------|--|
| | | | | 2000 | 2001 | 2002 | |
| a. | | | Prevention | | | | |
| b. | | | Treatment & Rehabilitation | | | | |
| c. | | | Aftercare & Social Reinsertion ⁽³⁾ | | | | |
| d. | | | Research | | | | |
| e. | | | Training | | | | |

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) A **budget for the national demand reduction strategy** would normally include funding for drug abuse prevention, treatment, rehabilitation and aftercare. Resources may include money, personnel, materials, and in-kind contributions.

(2) Please detail all cooperation provided by other agencies or NGOs.

(3) **Social reintegration and aftercare** generally includes all elements of rehabilitation and relapse prevention, and may also include preparing the neighborhood, local community, the family and/or the workplace to deal with the former drug user.

9

Implementation of a national system of drug abuse prevention programs that target key populations

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS THE EXTENT AND COVERAGE OF THE NATIONAL SYSTEM OF DRUG ABUSE PREVENTION THAT TARGETS KEY POPULATIONS

- A. 1. Is your country implementing a national system of drug abuse prevention programs⁽¹⁾ that targets key populations⁽²⁾?

Y N

- B. If yes, please complete the information specified in the table below for each program which targets the following populations. When possible, please indicate how the number and frequency were derived.

| Y | N | KEY POPULATIONS | Percent | Number | Frequency | Geographic coverage |
|----|---|--|------------------------|-----------------------|--|--|
| 1. | | Enrolled students | (% of schools covered) | (# students involved) | (If programs are weekly, monthly, annually, ongoing, sporadic, etc.) | (whether the programs are carried out on the municipal, regional or national level). |
| | | • Pre-school (specify age groups): _____ | | | | |
| | | • Primary (specify age groups): _____ | | | | |
| | | • Secondary (junior & high-school) (specify age groups): _____ | | | | |
| | | • Tertiary (college) (specify age groups): _____ | | | | |

(Continuation of Indicator 9.B)

| Y | N | KEY POPULATIONS | Percent | Number | Frequency | Geographic coverage |
|----|---|---|---|-----------------------------|--|--|
| 2. | | <p>Community-based programs for youth (outside of the school system)</p> <ul style="list-style-type: none"> Enrolled school children (specify age groups): _____ Working children (specify age groups): _____ Street/abandoned children (specify age groups): _____ | | (number of youth involved) | (If programs are weekly, monthly, annually, ongoing, sporadic, etc.) | (whether the programs are carried out on the municipal, regional or national level). |
| 3. | | <p>Community-based programs for adults</p> <p>If yes, indicate age: _____</p> | | (number of adults involved) | (If programs are weekly, monthly, annually, ongoing, sporadic, etc.) | (whether the programs are carried out on the municipal, regional or national level). |
| 4. | | Women | | | (If programs are weekly, monthly, annually, ongoing, sporadic, etc.) | (whether the programs are carried out on the municipal, regional or national level). |
| 5. | | Indigenous groups | | | (If programs are weekly, monthly, annually, ongoing, sporadic, etc.) | (whether the programs are carried out on the municipal, regional or national level). |
| 6. | | Workplace⁽³⁾ | <p>If yes, indicate below whether drugs in the workplace programs exist in the public sector and/or the private sector, and the number of government departments or private companies with programs in place:</p> <p><input type="checkbox"/> Public sector No. of Gov. departments <input type="text"/></p> <hr/> <p><input type="checkbox"/> Private sector No. of companies <input type="text"/></p> | | | |

(Continuation of Indicator 9.B)

| Y | N | KEY POPULATIONS | Percent | Number | Frequency | Geographic coverage |
|----|---|--|--------------|--------------------------------|--|---------------------|
| 7. | | Prisoners | (% coverage) | (number of prisoners involved) | (If programs are weekly, monthly, annually, ongoing, sporadic, etc.) | |
| 8. | | Other groups at risk⁽⁴⁾ Please specify: _____ | | | | |

C. During the period covered, did your country offer **training** for prevention practitioners?

Y **N**

D. If yes, please complete the information specified in the table below for each group:

| Y | N | PREVENTION PRACTITIONERS | Number | Frequency/Duration | Geographic Coverage |
|----|---|---|--|---|--|
| 1. | | Teachers | (number of teachers trained in drug abuse prevention during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | (whether the programs are carried out on the municipal, regional or national level). |
| 2. | | Community leaders If yes, indicate: - if any activities were specifically designed for women as change agents. _____ | (number of leaders involved during the past year, or number of community-based organizations), | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | (whether the programs are carried out on the municipal, regional or national level). |

(Continuation of Indicator 9.D)

| Y | N | PREVENTION PRACTITIONERS | Number | Frequency/ Duration | Geographic Coverage |
|----|---|---|---|---|--|
| 3. | | Youth leaders - If yes, indicate age groups, _____ | (number of leaders involved during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | (whether the programs are carried out on the municipal, regional or national level). |
| 4. | | Parents If yes, indicate: - if any activities were specifically designed for women as change agents. _____ | (number of parents involved during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | (whether the programs are carried out on the municipal, regional or national level). |
| 5. | | Social workers | (number of social workers during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | (whether the programs are carried out on the municipal, regional or national level). |
| 6. | | Health workers | (number of health workers during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | (whether the programs are carried out on the municipal, regional or national level). |
| 7. | | Police officers | (number of police officers during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | (whether the programs are carried out on the municipal, regional or national level). |

(Continuation of Indicator 9.D)

| Y | N | PREVENTION PRACTITIONERS | Number | Frequency/ Duration | Geographic Coverage |
|-----|---|-------------------------------------|--|---|------------------------|
| 8. | | Prison officers | (number of prison officers during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | |
| | | | | | |
| 9. | | Media / journalists | (number of people during the past year) | (If activities are weekly, monthly, annually, ongoing, sporadic, etc.) (number of hours of training), | |
| | | | | | |
| 10. | | Other groups Please specify: | | | |
| | | | | | |

E. Observations:

F. Agency providing information:

G. Official providing information:

H. Bibliographic Information:

DEFINITIONS AND EXPLANATIONS:

- (1) **Drug abuse prevention** addresses the use of illicit drugs and the abuse/misuse of pharmaceuticals and other substances harmful to health such as inhalants, alcohol and tobacco. A drug abuse prevention program is generally considered to be a sustained effort over time, with a planned curriculum or course of activities, backed up with written or audio-visual materials.
- (2) **Programs that target key populations** are those that develop and implement drug prevention strategies that are tailored to the characteristics of that particular population group, (context, gender, age, ethnicity, etc) (e.g., primary school or high school students, working children, women indigenous groups, and so forth).
- (3) **Drugs in the workplace programs** may include drug and alcohol abuse prevention and education for employees and management; employee assistance programs; referral to and/or financial assistance with treatment for drug abuse; on-site facilities made available for Alcoholics Anonymous and Narcotics Anonymous (AA / NA) groups; and written policies about use of drugs on the job.
- (4) **Other groups at risk:** Each member state should determine those population groups that may, in that country, be at higher risk for drug abuse; other high-risk groups might typically include prostitutes and injecting drug users.

10

Existence of professional specialized training in drug abuse prevention, treatment and research at the university level

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS THE NATIONAL CAPACITY TO PROVIDE PROFESSIONAL TRAINING IN DRUG ABUSE PREVENTION AND TREATMENT

- A. 1. During the period covered, were university degrees or professional education courses offered in your country or region ⁽¹⁾ in drug abuse prevention, treatment, and/or research?

| | Y | N | |
|----|--------------------------|--------------------------|---|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | Short refresher courses or in-service training ⁽²⁾ |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | Undergraduate university-level courses |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | Graduate/Postgraduate M.A. & Ph.D. |
| d. | <input type="checkbox"/> | <input type="checkbox"/> | Regional and international study abroad programs |

2. If yes to A1a, please list the short refresher courses or in-service training courses in the table below:

| Short refresher courses or in-service training title | Prevention | Treatment | Research | Frequency (monthly, yearly, etc.) |
|--|------------|-----------|----------|-----------------------------------|
| | | | | |

3. If yes to A1b, please list the universities in your country that include content on prevention and/or treatment in general undergraduate curricula of the following disciplines associated with the drug problem:

| | Y | N | Discipline | Name of University |
|----|---|---|-----------------------|--------------------|
| a. | | | Medical School | |
| b. | | | Psychology | |
| c. | | | Nursing School | |
| d. | | | Social Work | |
| e. | | | Sociology | |
| f. | | | Public Health | |
| g. | | | Other (specify) _____ | |

4. If yes to A1c, please indicate the name(s) of the university or universities that offer graduate level (Masters or Ph.D.) inter-disciplinary degrees in the addictions, prevention & treatment for professionals working in health-related fields (psychologists, social workers, psychiatrists, nurses, and public health, etc.).

| Name of University | Masters Programs | Ph.D. Programs | Duration of Degree course | | Number of graduates in the last year | |
|--------------------|------------------|----------------|---------------------------|-----|--------------------------------------|-----|
| | | | MA | PhD | MA | PhD |
| | | | | | | |

5. a. If yes to A1d, please provide details about regional and international study abroad programs.

- b. Do the courses described above meet the national demand for professional training in prevention and treatment?

Y N

c. What is the percentage of students accepted in relation to the number of applicants?

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Region:** In some parts of the Americas, such professional training is provided through sub regional (rather than national) universities and courses.

(2) **Short refresher courses or in-service training:** Refers to brief training courses for practicing physicians, nurses, nurse practitioners, pharmacists, social workers and psychologists, often required for professional re-licensing.

11

Evaluation of Prevention Programs

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS THE EFFICIENCY OF DRUG ABUSE PREVENTION PROGRAMS

A. 1. In the past three years, has your country conducted process evaluations ⁽¹⁾ of drug abuse prevention programs?

Y N

2. If yes, please complete the table below:

| Program / Population Evaluated (see populations indicated in #9) | Title of Evaluation performed ⁽²⁾ | Year of evaluation of the programs (2000, 2001, 2002) |
|--|--|---|
| | | |

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Process evaluations** are taken to mean a step-by-step documentation of the process of implementing a single project or program, including its financial management, cost-effectiveness, opportunity cost, pre- and post-testing of the participants' knowledge, attitudes and behaviors with regard to drug use. A process evaluation tries to determine whether the prevention program is performing efficiently, whether it is achieving its immediate goals, whether the target population is reached, and the appropriateness of the prevention materials, and may highlight program strengths and provide recommendations to improve shortcomings. A process evaluation does not, generally, attempt to measure the long-term impact of the program or project on level of use of drugs by program participants.

(2) Please indicate the Title of the evaluation, institution that carried out the evaluation, and bibliographical information if available.

12

Research on prevention approaches

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS THE EFFECTIVENESS AND IMPACT OF DRUG ABUSE PREVENTION PROGRAMS

A. 1. Has your country conducted research on the impact of prevention programs or “best practices” ⁽¹⁾ during the past three years?

- | | | |
|--------------------------|--------------------------|----------------------|
| Y | N | |
| <input type="checkbox"/> | <input type="checkbox"/> | Public institutions |
| <input type="checkbox"/> | <input type="checkbox"/> | Private institutions |
| <input type="checkbox"/> | <input type="checkbox"/> | NGOs |

2. If yes, please complete the table below:

| Program/ Populations Assessed (see populations indicated in #9) | Title of Study Performed ⁽²⁾ | Year of evaluation of the programs (2000, 2001, 2002) | Carried out by |
|---|---|---|----------------|
| | | | |

3. Please describe the key findings.

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Research on prevention approaches** attempts to assess the long-term effectiveness or impact that a particular prevention program has on drug-using behavior by program participants. Prevention research is designed to determine "what works in prevention", and designate model programs or "best practices". The research might take the form of longitudinal cohort studies to follow the drug using behavior over time of selected groups of people; case control studies, or other comparative assessments of the short- and long-term impacts of a particular drug abuse prevention program.

(2) Please indicate the Title of the evaluation, institution that carried out the evaluation, and bibliographical information if available.

13

Existence and application of guidelines or regulations on standards of care for drug abuse treatment

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS THE QUALITY OF DRUG ABUSE TREATMENT PROGRAMS

- A. 1. Has your government (national, state/ provincial or local) established guidelines or regulations on standards of care for drug abuse treatment ⁽¹⁾?

Y N

2. If yes, please give name of document:

3. Are these guidelines voluntary or mandatory?

4. If mandatory indicate if enabling legislation exists to support these guidelines? (Please provide the title of the legislation or executive decree, and date of passage).

- B. Does your Government keep a national registry ⁽²⁾ of treatment services (facilities) and programs?

Y N

C. 1. Does your Government have instruments for accrediting⁽³⁾ treatment services (facilities) and programs?

Y N

2. If the answer to B and/or C above is yes, please indicate which government agency is in charge of registration and accreditation of treatment facilities:

- a. National Drug Commission
- b. Ministry of Health
- c. Other

D. 1. Is there a national mechanism to oversee adherence to the standards of care for drug treatment and to evaluate the quality of the services provided?

Y N

2. If yes, please indicate which Agency is in charge of oversight and evaluation:

- a. National Drug Commission
- b. Ministry of Health
- c. Joint Commissions(such as Health Ministry/ National Drug Commission)
- d. Other

3. With what frequency are evaluations of the quality of treatment services carried out?

- a. Twice a year
- b. Annually
- c. Other

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Standards of care for drug abuse treatment** are Government-set guidelines that public and private drug treatment facilities (clinics, hospitals, centers, whether in-patient or outpatient) should follow to assure the professional care of patients. Such guidelines are generally agreed on by the Ministry of Health and the drug treatment providers.

(2) **National registry** of treatment programs means a list or directory of programs and services offered. A listing in the national registry does not necessarily mean that the quality of the services has been evaluated or is guaranteed.

(3) **Accreditation** of a drug treatment program or center is a license, permit, or other certification, issued by the government or by a professional accreditation board, that allows the program to offer treatment services and provides a level of guarantee of the quality of those services.

14

Characteristics of drug treatment and rehabilitation programs that include early intervention (detection), treatment, rehabilitation, social reinsertion and aftercare

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS THE COVERAGE AND APPROPRIATENESS OF THE NATIONAL DRUG TREATMENT, REHABILITATION AND SOCIAL REINTEGRATION SERVICES

- A. Please indicate below which drug treatment modalities exist in your country. Also, indicate whether they are public or private (private may include NGO's, church based groups, private medical services), and how many treatment centers or programs exist.

| PROGRAMS | PUBLIC | | PRIVATE | | TYPE OF POPULATION SERVED | | | |
|--|----------------|----|----------------|----|---------------------------|---|--------|---|
| | Yes, how many? | No | Yes, how many? | No | Adults | | Minors | |
| | | | | | M | F | M | F |
| 1. Ambulatory (outpatient) ⁽¹⁾ | | | | | | | | |
| 2. Residential (in-patient) ⁽²⁾ | | | | | | | | |
| 3. Clinics (am/pm) ⁽³⁾ | | | | | | | | |

B. Please indicate below which drug treatment services exist in your country, whether they are public or private (private may include NGO's, church based groups, private medical services), how many and geographic coverage:

| SERVICES | PUBLIC | | PRIVATE | | GEOGRAPHIC COVERAGE | | |
|---|----------------|----|----------------|----|---------------------|----------|----------|
| | Yes, how many? | No | Yes, how many? | No | Municipal | Regional | National |
| 1. Network for early detection, outreach and referral of cases ⁽⁴⁾ | | | | | | | |
| 2. Detoxification ⁽⁵⁾ | | | | | | | |
| 3. Treatment ⁽⁶⁾ & rehabilitation ⁽⁷⁾ | | | | | | | |
| 4. Social reintegration and aftercare ⁽⁸⁾ | | | | | | | |
| 5. Self-help groups ⁽⁹⁾ | | | | | | | |
| 6. Other (describe) | | | | | | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS AND EXPLANATIONS:

TREATMENT MODALITIES

- (1) **Ambulatory drug treatment:** A center or service where patients receive periodic treatment. It includes people that receive outpatient care and community outreach services.
- (2) **Residential drug treatment:** A center where the patient lives in a closed facility during treatment; for example, the therapeutic community model where treatment could last 3 months, 6 months, or one year.
- (3) **Clinic (AM/PM):** A semi-open institution that offers treatment services that permit the patient to receive treatment and continue to work, study and maintain family ties at the same time. Can be used as part of the social reintegration process after the patient has left the residential center. For example, a patient who works but needs treatment could work during the day and receive treatment at night, or receive treatment during the day and maintain family life at night.

TYPES OF TREATMENT SERVICES

Drug treatment and rehabilitation are generally understood as a continuum of care, with different modalities for different patients at various stages of their recovery, and usually require a network of services, which may include:

- (4) **Early detection and outreach:** Social and health workers in the community seek out drug users, provide them with counseling and advice on general health, and encourage them into contact with the health services and treatment programs.
- (5) **Detoxification:** A service that offers attention to the patient to alleviate symptoms of withdrawal from drugs. This phase prepares the patient to enter long-term treatment.
- (6) **Treatment:** Care (e.g., pharmacotherapy, psychotherapy, cognitive behavior therapy, etc.) provided by multidisciplinary teams of specialists to address the medical consequences of drug dependence and associated problematic psychosocial behaviors. May include relapse prevention, and family therapy. Treatment may be provided in outpatient centers, therapeutic communities, and residential care in clinics or hospitals; "day hospitals"; and self-help groups. Most treatment involves a combination of the above, depending on the individual patient, his family circumstances, and the drug(s) used.
- (7) **Rehabilitation:** provides the social supports and invokes community services (housing, education, employment, job training) to help former drug users achieve a stable and fulfilling life without the use of drugs. May include halfway houses, "drug courts", drop-in centers, or other modalities provided in cooperation with the Ministries of Justice or Social Services.
- (8) **Social Reintegration and Aftercare:** generally includes all elements of rehabilitation and relapse prevention, and may also include preparing the neighborhood, local community, the family and/or the workplace to deal with the former drug user.
- (9) **Self-help Groups:** Groups known as AA (Alcoholics Anonymous) and NA (Narcotics Anonymous).

Note: Countries and service providers define the continuum of care in different ways and under different names. The above definitions are merely indicative of the various types of care offered for drug dependent persons.

15

Demand for treatment

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS NATIONAL DRUG TREATMENT CAPACITY

A. Please provide in the table below:

- The number of treatment centers for drug abuse ⁽¹⁾
- The number of new treatment centers for drug abuse. Please include the source of the data, and the years the data were collected.

| | Year | Number of Treatment Centers in your Country | Number of New Treatment Centers in your country | Number of People treated | Number of People Seeking treatment | Data Source |
|----|------|---|---|--------------------------|------------------------------------|-------------|
| 1. | 2000 | | | | | |
| 2. | 2001 | | | | | |
| 3. | 2002 | | | | | |

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) While it is recognized that the **demand for treatment** is difficult to measure, a variety of approaches exist. A simple and cost effective approach to estimating the demand for treatment is estimating the rise in number of treatment centers available during the course of a single year. If another methodology is used to estimate the demand for treatment, please include this information under section B. Observations. An example of a more complex method may be the use of intake records at treatment centers to provide information on the number of persons who are admitted to treatment in addition to the number assessed but not admitted due to lack of available slots in treatment centers.

16

Results of studies to evaluate various treatment and rehabilitation programs and modalities in order to assess their effectiveness

DEMAND REDUCTION

PURPOSE OF INDICATOR:

EVALUATION OF THE IMPACT/EFFECTIVENESS OF DRUG ABUSE TREATMENT AND REHABILITATION PROGRAMS

- A. 1. Have studies been conducted in your country to evaluate the various treatment and rehabilitation programs and modalities in order to assess their effectiveness? ⁽¹⁾

Y

N

If no, please elaborate in section C. Observations.

2. If yes, please elaborate the key findings.

- B. Describe your criteria for determining successful treatment of drug-dependent persons (e.g., drug free after 6 months, one year, two years, etc.)

- C. Observations:

- D. Agency providing information:

E. Official providing information:

DEFINITIONS AND EXPLANATIONS:

⁽¹⁾This type of study is designed to measure, inter alia, the extent to which patients in drug treatment remain drug free after a certain period of time, and the success in matching treatment to patient. Some treatment programs in some member states treat certain types of drug dependence with other drugs, and therefore the treatment goal is not necessarily to have a patient be drug-free. If that is the case in your country, please so state in the Observations section above, and describe, succinctly, the treatment protocols and expected outcomes.

17

Prevalence of drug use

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO DETERMINE TRENDS IN DRUG USE

A. Do you have an estimate for the prevalence of drug use ⁽¹⁾ among the general population of the country as a whole ⁽²⁾, or for a part of the country or a part of the population ⁽³⁾?

1. No - Please elaborate in section D. Observations below.
2. Yes - an estimate for the general population of the country as a whole (go to Table A below)
3. Yes - an estimate for part of the country or part of the population (go to Table B below)

B. What is the estimated prevalence (Lifetime, last 12 months, last 30 days) of drug use per 1000 persons among the general population? Specify by gender.

TABLE A – PREVALENCE IN THE GENERAL POPULATION

| YEAR OF SURVEY: | | AGE GROUP SURVEYED: | | | | | | | | |
|--|-----------------------------|----------------------|----------------------|-----------------------------------|---|----------------------|---------------------------------|---|----------------------|--|
| <input type="text"/> | | <input type="text"/> | | | | | | | | |
| Type of drug | Lifetime (rate per 1000) | | | Last 12 months (rate per 1000) | | | Last 30 days (rate per 1000) | | | |
| | M | F | Total ⁽⁴⁾ | M | F | Total ⁽⁴⁾ | M | F | Total ⁽⁴⁾ | |
| 1. Alcohol | | | | | | | | | | |
| 2. Tobacco | | | | | | | | | | |
| 3. Solvents & Inhalants | | | | | | | | | | |
| 4. Cannabis Type | | | | | | | | | | |
| 4a Hashish | | | | | | | | | | |
| 4b Marihuana | | | | | | | | | | |
| 4c Other Cannabis Type | | | | | | | | | | |
| 5. Hallucinogens | | | | | | | | | | |
| 5a LSD | | | | | | | | | | |
| 5b PCP | | | | | | | | | | |
| 5c Other hallucinogens | | | | | | | | | | |
| 6. Opioids | | | | | | | | | | |
| 6a Heroin | | | | | | | | | | |
| 6b Morphine* | | | | | | | | | | |
| 6c Opium | | | | | | | | | | |
| 6d Other Opioids* | | | | | | | | | | |
| 7. Cocaine Type | | | | | | | | | | |
| 7a Basuco, or coca paste | | | | | | | | | | |
| 7b Cocaine HCL | | | | | | | | | | |
| 7c Crack | | | | | | | | | | |
| 7d Other Cocaine Type | | | | | | | | | | |
| 8. Tranquilizers / Sedatives/ Depressants | | | | | | | | | | |
| 8a Barbiturates * | | | | | | | | | | |
| 8b Benzodiazepines* | | | | | | | | | | |
| 8c Flunitrazepam (Rohypnol®)* | | | | | | | | | | |
| 8d GHB | | | | | | | | | | |
| 8e Ketamine | | | | | | | | | | |
| 8f Other Tranquillizer/ Sedative/ Depressant | | | | | | | | | | |
| 9. Stimulants | | | | | | | | | | |
| 9a Amphetamines | | | | | | | | | | |
| 9b Ecstasy (MDMA) ⁽⁵⁾ | | | | | | | | | | |
| 9c Methamphetamines | | | | | | | | | | |
| 9d Other Stimulants | | | | | | | | | | |
| 10. Other Drugs | | | | | | | | | | |

*Non-prescribed/non-therapeutic use only

All figures should be rates per 1000 of the reference population. Please provide decimal figures. If an estimate results in a zero prevalence rate please note as 0.

If you have an estimate of the NUMBERS of users, please convert these into rates per 1000 of the reference population.

- C. Estimate for part of the population or part of the country (e.g., capital city only; large cities; high school students; university students; emergency rooms; detention centers; treatment centers, medical examiners' reports). Please state whether survey method relied on a sample of the population or institutions.

Table B – PREVALENCE IN SPECIFIC POPULATIONS

| YEAR OF SURVEY: | | Estimate for part of the population or part of the country to which estimate applies: _____ | | | | | | | | |
|--|-----------------------------|---|----------------------|-----------------------------------|---|----------------------|---------------------------------|---|----------------------|--|
| <div style="border: 1px solid black; width: 150px; height: 30px; margin: 0 auto;"></div> | | Representative sample: ⁽⁶⁾ Y <input type="checkbox"/> N <input type="checkbox"/> | | | | | | | | |
| Type of drug | Lifetime (rate per 1000) | | | Last 12 months (rate per 1000) | | | Last 30 days (rate per 1000) | | | |
| | M | F | Total ⁽⁴⁾ | M | F | Total ⁽⁴⁾ | M | F | Total ⁽⁴⁾ | |
| 1. Alcohol | | | | | | | | | | |
| 2. Tobacco | | | | | | | | | | |
| 3. Solvents & Inhalants | | | | | | | | | | |
| 4. Cannabis Type | | | | | | | | | | |
| 4a Hashish | | | | | | | | | | |
| 4b Marihuana | | | | | | | | | | |
| 4c Other Cannabis Type | | | | | | | | | | |
| 5. Hallucinogens | | | | | | | | | | |
| 5a LSD | | | | | | | | | | |
| 5b PCP | | | | | | | | | | |
| 5c Other hallucinogens | | | | | | | | | | |
| 6. Opioids | | | | | | | | | | |
| 6a Heroin | | | | | | | | | | |
| 6b Morphine* | | | | | | | | | | |
| 6c Opium | | | | | | | | | | |
| 6d Other Opioids* | | | | | | | | | | |
| 7. Cocaine Type | | | | | | | | | | |
| 7a Basuco, or coca paste | | | | | | | | | | |
| 7b Cocaine HCL | | | | | | | | | | |
| 7c Crack | | | | | | | | | | |
| 7d Other Cocaine Type | | | | | | | | | | |
| 8. Tranquilizers / Sedatives/ Depressants | | | | | | | | | | |
| 8a Barbiturates * | | | | | | | | | | |
| 8b Benzodiazepines* | | | | | | | | | | |
| 8c Flunitrazepam (Rohypnol®)* | | | | | | | | | | |
| 8d GHB | | | | | | | | | | |
| 8e Ketamine | | | | | | | | | | |

[COUNTRY]

| | | | | | | | | | | | | | | | | | | | |
|-----|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| 8f | Other Tranquillizers/ Sedatives/ Depressants | | | | | | | | | | | | | | | | | | |
| 9. | Stimulants | | | | | | | | | | | | | | | | | | |
| 9a | Amphetamines | | | | | | | | | | | | | | | | | | |
| 9b | Ecstasy (MDMA) ⁽⁵⁾ | | | | | | | | | | | | | | | | | | |
| 9c | Methamphetamines | | | | | | | | | | | | | | | | | | |
| 9d | Other Stimulants | | | | | | | | | | | | | | | | | | |
| 10. | Other Drugs | | | | | | | | | | | | | | | | | | |

* Non-prescribed/non-therapeutic use only

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) The **prevalence** of drug use is defined as the number of people who used a drug during a specified period of time divided by the total number of people in the population at that time. There are three primary drug prevalence rates that are typically measured:

The **LIFETIME** prevalence of drug use determines the proportion of people who have used a particular drug at any time in their lives(who have ever used a drug).

Prevalence during the **PAST 12 MONTHS** provides information on the proportion of people who have used a drug at least once in the past year. A sudden increase in the prevalence of use during the past 12 months could indicate that people are using drugs at an increasing rate.

Prevalence during the **PAST 30 DAYS** provides information on the proportion of people who are probably regular users (sometimes referred to as "problematic" or "chronic" users).

Prevalence is normally expressed as the rate per 1,000 persons:

$$\frac{\text{No. of drug users in the population during (the last year/ month, lifetime)}}{\text{Total no. of persons in the population during (the last year/ month, lifetime)}} \times 1000$$

- (2) **Prevalence data on drug use among the general population** of the country as a whole are typically gathered by means of a national household survey, using a representative sample. If your country has conducted one or more national household surveys, please use TABLE A to report prevalence rates.
- (3) Information on **prevalence of drug use among specific populations**, such as high school students, university students, arrestees, etc., may be obtained through surveys of a representative sample of the particular population group, either in the country as a whole, or in particular geographic regions such as the capital city or large cities. If your country has prevalence data for a particular sub-population or for only one geographical area, please use **TABLE B** to report the estimates.
- (4) **Total** refers to the number of drug users per 1,000 persons of the total population.
- (5) May include non-MDMA stimulants identified as “ecstasy” by user.
- (6) **Representative sample**: if your country uses other (non-statistical) estimation methods to determine prevalence, or the proportionate use of drugs (qualitative methods, rapid assessments, etc.) please report those estimates in indicator 22, and not in the present indicator.

18

Average age of first use of any drug

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO DETERMINE TRENDS IN DRUG USE

A. What is the average age of the first use of alcohol or any drug in your country, by gender?

| If study did not cover the general population of the country as a whole, specify the part of the population ⁽¹⁾ or part of the country to which this estimate applies: _____ | | General population ⁽²⁾ Year: _____ | | | Specific population ⁽³⁾ Year: _____ | | |
|---|-----------------------|--|---|------------------------|---|---|------------------------|
| | | M | F | Average ⁽⁵⁾ | M | F | Average ⁽⁵⁾ |
| 1. | Alcohol | | | | | | |
| 2. | Tobacco | | | | | | |
| 3. | Solvents & Inhalants | | | | | | |
| 4. | Cannabis Type | | | | | | |
| 4a | Hashish | | | | | | |
| 4b | Marihuana | | | | | | |
| 4c | Other Cannabis Type | | | | | | |
| 5. | Hallucinogens | | | | | | |
| 5a | LSD | | | | | | |
| 5b | PCP | | | | | | |
| 5c | Other hallucinogens | | | | | | |
| 6. | Opioids | | | | | | |
| 6a | Heroin | | | | | | |
| 6b | Morphine* | | | | | | |
| 6c | Opium | | | | | | |
| 6d | Other Opioids* | | | | | | |
| 7. | Cocaine Type | | | | | | |
| 7a | Basuco, or coca paste | | | | | | |
| 7b | Cocaine HCL | | | | | | |
| 7c | Crack | | | | | | |
| 7d | Other Cocaine Type | | | | | | |

[COUNTRY]

| | | | | | | | |
|-----|--|--|--|--|--|--|--|
| 8. | Tranquilizers / Sedatives/ Depressants | | | | | | |
| 8a | Barbiturates * | | | | | | |
| 8b | Benzodiazepines* | | | | | | |
| 8c | Flunitrazepam (Rohypnol®)* | | | | | | |
| 8d | GHB | | | | | | |
| 8e | Ketamine | | | | | | |
| 8f | Other Tranquilizer/ Sedative/ Depressant | | | | | | |
| 9. | Stimulants | | | | | | |
| 9a | Amphetamines | | | | | | |
| 9b | Ecstasy (MDMA) ⁽⁴⁾ | | | | | | |
| 9c | Methamphetamines | | | | | | |
| 9d | Other Stimulants | | | | | | |
| 10. | Other Drugs | | | | | | |

*Non-prescribed/non-therapeutic use only

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Population:** if your country uses other (non-statistical) estimation methods to determine average of first use of any drugs (qualitative methods, rapid assessments, etc.).

(2) **General Population:** refers to a sample of individuals which represent the entire population of your country.

(3) **Specific Population:** refers to a sample of individuals which represent a specific segment of the population of your country (children, teenagers, executives, etc.).

(4) May included non-MDMA stimulants identified as "ecstasy" by user.

(5) **Weighted average:** Average age of persons of both genders. Method of calculations is as follows:
Add ages of Males and Females and divide by the total number of persons (both genders) in the group.

19

Percentage of high school students that perceive drug use as harmful to health and well-being

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO ASSESS ATTITUDES TOWARDS DRUG USE AMONG HIGH-SCHOOL STUDENTS

- A. 1. Does your country have an estimate of the number or percentage of high school students that perceive drug use as being harmful to their health and well-being ⁽¹⁾?

Y N

2. a. If yes, has the research shown a change over time in the perceived risk associated with drug use?

Y N

- b. If so, please explain nature and extent of change.

- B. 1. Can you correlate that perception with drug use among the same population?

Y N

2. a. If yes, please provide a description of the population under study, and the year the study was carried out.

b. Describe the methodology used, and a brief description of the key findings.

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Health and well-being:** Some research has shown that the higher the perceived risk associated with drug use, the lower the rate of drug use among that population.

20

Illicit drug-related morbidity

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO DETERMINE CONSEQUENCES OF DRUG USE.

A. Do you have an estimate of illicit drug-related morbidity⁽¹⁾ among injecting drug users in your country?

Y

N

If the answer is yes, please provide the following:

| | Disease | Estimated number of infected persons | Estimated number of injecting drug users | Estimated number of infected injecting drug users | Year in which data were gathered |
|----|-------------|--------------------------------------|--|---|----------------------------------|
| 1. | Hepatitis B | | | | |
| 2. | Hepatitis C | | | | |
| 3. | HIV | | | | |
| 4. | Other | | | | |

B. Has your country ever produced estimates of the strength of association between drug use and any of the above diseases?

Y

N

If the answer is yes, please provide the following:

| | Disease | Methodology used | Estimated Strength of Association ⁽²⁾ | Year in which the study was carried out | Bibliographical Information |
|----|-------------|------------------|--|---|-----------------------------|
| 1. | Hepatitis B | | | | |
| 2. | Hepatitis C | | | | |
| 3. | HIV | | | | |
| 4. | Other | | | | |

C. Does your country gather data from any of the following sources to provide data to identify the morbidity associated with drug abuse?

Y **N**

If the answer is yes, please provide the following:

| | Sources of Information | Yes | No |
|----|--------------------------------------|-----|----|
| 1. | Medical Examiners Reports | | |
| 2. | Emergency Room Reports | | |
| 3. | Drug Related law enforcement reports | | |

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Drug-related morbidity** means cases of disease directly or generally attributable to drug consumption, particularly among injecting drug users. This indicator does NOT address psychiatric morbidity attributed to drug consumption or questions of co-morbidity, which are matters still under debate.

② **Strength of Association** is a tool for deriving causal inference and is used to measure whether excess risk of developing one of the above diseases is associated with injecting drug use. Measures of strength of association may include the calculation of **Relative Risk**. Other measurements for strength of association may include *Odds Ratios*, or measures of **Attributable Risk** (The amount or proportion of disease incidence (disease risk) that can be attributed to injecting drug use).

Example:

$$\text{Relative Risk} = \frac{\text{Risk in Injecting Drug Population}}{\text{Risk in the Non-Injecting Drug Population}} = \frac{\frac{a}{a+b}}{\frac{c}{c+d}}$$

Risk: The Incidence of the disease in the population studied. In other words the number of new cases of the diseases in the population over the course of the period studied (regardless of injecting drug use).

References:

A Dictionary of Epidemiology, John Last, Robert Spasoff, Susan Harris; 4th Ed. Oxford University Press, 2000.

Epidemiology, Leon Gordis, WB Saunders Company, 1996.

21

New trends in patterns of drug abuse

DEMAND REDUCTION

PURPOSE OF INDICATOR:

TO DETERMINE TRENDS OF DRUG ABUSE

- A. 1. Have new drugs or new patterns of drug abuse been reported in the past three years in your country⁽¹⁾?

Y

N

If the answer is no, please go to next indicator.

2. Which new drugs or new patterns of abuse have been reported?

| Year | Name of new drug | New pattern of drug abuse |
|------|------------------|---------------------------|
| | | |

- B. Observations:

- C. Agency providing information:

- D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(¹) If your country does not have data based on surveys, registers or formal methods of estimation of prevalence and trends, this indicator may be answered on the basis of informed expert opinions gathered through qualitative research, focus groups, networks of drug epidemiologists, researchers, physicians, law enforcement personnel, etc. Under "B. Observations", please describe briefly how your country gathered the information reported in this indicator.

22

Drug-related mortality

DEMAND REDUCTION

PURPOSE OF
INDICATOR:

TO DETERMINE CONSEQUENCES OF DRUG USE

A. 1. Do you have an estimate of the number of drug-related deaths ⁽¹⁾ in your country?

Y

N

2. If yes, then complete the table below:

| YEAR TO WHICH ESTIMATE APPLIES: _____ | | | | |
|---|--|---|--------|-------|
| PLEASE IDENTIFY THE CLASSIFICATION USED: | | | | |
| <input type="checkbox"/> ICD code -9 <input type="checkbox"/> ICD code-10 <input type="checkbox"/> DSM IV - r <input type="checkbox"/> Other _____ | | | | |
| | Type of drug | Estimated number of drug-related deaths | | |
| | | Male | Female | Total |
| 1. | Alcohol | | | |
| 2. | Tobacco | | | |
| 3. | Solvents & Inhalants | | | |
| 4. | Cannabis Type | | | |
| 4a | Hashish | | | |
| 4b | Marihuana | | | |
| 4c | Other Cannabis Type | | | |
| 5. | Hallucinogens | | | |
| 5a | LSD | | | |
| 5b | PCP | | | |
| 5c | Other hallucinogens | | | |
| 6. | Opioids | | | |
| 6a | Heroin | | | |
| 6b | Morphine* | | | |
| 6c | Opium | | | |
| 6d | Other Opioids* | | | |
| 7. | Cocaine Type | | | |
| 7a | Basuco, or coca paste | | | |
| 7b | Cocaine HCL | | | |
| 7c | Crack | | | |
| 7d | Other Cocaine Type | | | |
| 8. | Tranquilizers / Sedatives/ Depressants | | | |
| 8a | Barbiturates * | | | |
| 8b | Benzodiazepines* | | | |
| 8c | Flunitrazepam (Rohypnol®)* | | | |
| 8d | GHB | | | |
| 8e | Ketamine | | | |
| 8f | Other Tranquilizer/ Sedative/ Depressant | | | |
| 9. | Stimulants | | | |
| 9a | Amphetamines | | | |
| 9b | Ecstasy (MDMA) (2) | | | |
| 9c | Methamphetamines | | | |
| 9d | Other Stimulants | | | |
| 10. | Other Drugs | | | |

*Non-prescribed/non-therapeutic use only

B. If your country has another system for reporting indirect or attributable deaths to these substances, please describe here:

C. If your country has a system to collect data on drug content, or drug toxicity levels in the body associated with drug related mortality please describe here:

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Drug-related deaths** are understood as deaths directly attributable to or induced by the use of drugs (legal and illegal use), including drug overdose, accidental poisoning and suicide from medically-prescribed and other drugs. This category normally excludes accidents, homicides and other causes indirectly related to drug use, as well as newborn deaths associated with the mother's drug use. According to World Health Organization regulations, the causes of death are to be classified according to the current Manual of the International Statistical Classification of Disease, Injuries and Causes of Death, as well as the Ninth Revision of the International Classification of Diseases (ICD-9).

Please indicate in your response whether your country's estimate of drug-related deaths is classified as described above, or whether the category includes other causes.

Medical examiners reports are a likely source of information on drug-related mortality, or possibly emergency room data.

(2) May included non-MDMA stimulants identified as "ecstasy" by user

[date]

23

Area cultivated and potential production of raw materials and drugs, by type of plant

DRUG PRODUCTION AND ALTERNATIVE DEVELOPMENT

PURPOSE OF INDICATOR:

REDUCTION OF ILLICIT CULTIVATION OF PLANTS FOR DRUG PRODUCTION

A. What is the total area planted to illicit crops⁽¹⁾?

| Area cultivated | | | |
|-----------------|------|------|------|
| PLANT | 2000 | 2001 | 2002 |
| 1. Marijuana | | | |
| 2. Coca | | | |
| 3. Poppy | | | |

B. What is the potential capacity of raw material⁽²⁾?

| Potential production of raw material | | | |
|--------------------------------------|------|------|------|
| DRUG | 2000 | 2001 | 2002 |
| 1. Marijuana | | | |
| 2. Coca | | | |
| 3. Poppy | | | |

C. What is the potential drug production capacity ⁽³⁾ annually, by type of plant?

| Potential production of drug | | | |
|------------------------------|------|------|------|
| DRUG | 2000 | 2001 | 2002 |
| 1. Marijuana | | | |
| 2. Coca | | | |
| 3. Poppy | | | |

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Area of Illicit Crops:** Does not include areas officially designated as crop areas grown for traditional or medicinal use, and/or legal commercial products. Does not include crops grown indoors.

(2) **Potential capacity of raw material:** This refers to the entire marijuana plant including the stalk, leaves, seeds and buds, to the yield of dry coca leaves, and opium gum that can be obtained from the given area. For the purpose of these calculations, use a standard average determined by the country providing the information. Calculations should be based on the following criteria:

The value of factors such as: planting density, average weight per plant, etc., is to be defined by the reporting country for use in the following calculations and should be reported in the section on observations. One method of calculating could be the following:

- **Marijuana:** Area cultivated with plants and average weight per plant gives as a result the total weight of the plants that can be produced in the given area per harvest; this is multiplied by the number of harvests.

[(area)(# of plants)(average weight per plant) x number of harvests per year]

- **Coca leaf:** Area cultivated (hectares) with coca, number of plants per hectare, average weight of dry leaves per plant.

(area) (# plants per ha) (average weight of dry leaves per plant) (# harvests / year)

- **Opium gum:** Area cultivated with poppy, average yield of opium gum per plant per hectare.

(area) (average yield of poppy plants per ha) (# harvests / year)

(3) **Potential drug production capacity:** This refers to the production of drugs obtained by dividing the number of leaves/plants needed to prepare cocaine hydrochloride or heroin, respectively, based on the estimate of the output of raw material. For marijuana it refers to the useable parts of the plant such as the leaves and buds.

[date]

24

Number of indoor-grown plants seized, and their potential capacity to produce raw material

DRUG PRODUCTION AND ALTERNATIVE DEVELOPMENT

PURPOSE OF INDICATOR:

REDUCTION OF ILLICIT CROPS / PRODUCTION

A. How many Marijuana plants grown indoors were seized ⁽¹⁾ during the past three years?

| Plant | Number of plants | | | Total weight of raw material ⁽²⁾ | | |
|-----------|------------------|------|------|---|------|------|
| | 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| Marijuana | | | | | | |

B. How much indoor production was estimated to exist in your country during the past three years?

| Estimated production | | |
|----------------------|------|------|
| 2000 | 2001 | 2002 |
| | | |

C. How is indoor cultivation estimated?

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Seized plants:** This refers to illicit plants cultivated by means of hydroponics or other indoor crops, seized by police or other agency authorized to participate in operations against indoor cultivation.

(2) **Methodology for calculating the total weight of raw material:** The calculations should be based on the net weight of the entire plant to include stalk, leaves, seeds and buds.

25

Areas no longer used for illicit crops (by type of plant) as a result of eradication or abandonment

DRUG PRODUCTION AND ALTERNATIVE DEVELOPMENT

PURPOSE OF INDICATOR:

REDUCTION OF ILLICIT CROPS / PRODUCTION

- A. What was the total area of illicit crops used for the production of drugs eradicated⁽¹⁾ or abandoned during the last three years?

| | PLANT | Areas no longer cultivated. 2000 | | | | Total |
|----|-----------|----------------------------------|--------------------------|---------------------|---------------------|-------|
| | | Abandoned | Eradicated by fumigation | Eradicated manually | Voluntary agreement | |
| 1. | Marijuana | | | | | |
| 2. | Coca | | | | | |
| 3. | Poppy | | | | | |

| | PLANT | Areas no longer cultivated. 2001 | | | | Total |
|----|-----------|----------------------------------|--------------------------|---------------------|---------------------|-------|
| | | Abandoned | Eradicated by fumigation | Eradicated manually | Voluntary agreement | |
| 4. | Marijuana | | | | | |
| 5. | Coca | | | | | |
| 6. | Poppy | | | | | |

| | PLANT | Areas no longer cultivated. 2002 | | | | Total |
|----|-----------|----------------------------------|--------------------------|---------------------|---------------------|-------|
| | | Abandoned | Eradicated by fumigation | Eradicated manually | Voluntary agreement | |
| 7. | Marijuana | | | | | |
| 8. | Coca | | | | | |
| 9. | Poppy | | | | | |

- B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS / EXPLANATIONS:

⁽¹⁾ **Total area eradicated:** This is the net area of crops destroyed or abandoned with the objective of making rehabilitation impossible. It is understood that different means can be used to reduce cultivation, based on policies and national programs. This includes eradication (manual and/or by fumigation), voluntary agreement and abandonment either by state action or natural causes.

26

New areas of illicit crops, by type of plant and by year

DRUG PRODUCTION AND ALTERNATIVE DEVELOPMENT

PURPOSE OF INDICATOR:

EXTENT OF ILLICIT CROPS / PRODUCTION

- A. What was the total area of new illicit crops used for the production of drugs⁽¹⁾ by type of plant and by year?

| New illicit crops (area) ⁽²⁾ | | | |
|---|------|------|------|
| PLANT | 2000 | 2001 | 2002 |
| 1. Marijuana | | | |
| 2. Coca | | | |
| 3. Poppy | | | |

- B. Observations:

- C. Agency providing information:

- D. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Areas of new illicit crops used for the production of drugs:** This refers to those illicit crops not included on the list of illicit crops in the last MEM report. Does not include areas where the crop is used for traditional or medicinal purposes, and/or legal commercial products.

(2) **In order to estimate new areas planted with illicit crops used for the production of drugs, the following equation can be used:**

Area cultivated at year end – Area cultivated at beginning of year – Area eradicated during the year =
Area of new crops during the year.

27

Existence of alternative development programs (by type)

DRUG PRODUCTION AND ALTERNATIVE DEVELOPMENT

PURPOSE OF INDICATOR:

EXISTENCE OF ALTERNATIVE DEVELOPMENT PROGRAMS TO COMPLEMENT ACTIONS OF INTERDICTION AND CONTROL, AND TO PROVIDE NEW AND LEGAL PRODUCTION OPPORTUNITIES

A. 1. Does your country have alternative development programs ?

a. **Y** **N** Traditional alternative development ⁽¹⁾

b. **Y** **N** Others

2. If the answer is no, please move on to Observations, or to indicator number 29.

3. If the answer is yes, please indicate the type of program:

| | Type of program | Traditional | Others |
|----|-------------------------|-------------|--------|
| a. | Agricultural | | |
| b. | Agro-industrial | | |
| c. | Fisheries (Aquaculture) | | |
| d. | Forestry | | |
| e. | Industrial | | |
| f. | Livestock | | |
| g. | Other | | |

B. How many alternative development or similar projects were in operation during the past three years?

| Number of projects | | |
|--------------------|------|------|
| 2000 | 2001 | 2002 |
| | | |

C. What is the value of the projects currently in force ⁽²⁾?

| Resources | Value of the projects | | |
|-------------|-----------------------|------|------|
| | 2000 | 2001 | 2002 |
| 1. National | | | |
| 2. Foreign | | | |
| 3. Total | | | |

D. List the possible difficulties encounter by your country in the marketing of products derived from alternative development or similar programs?

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS / EXPLANATIONS:

⁽¹⁾ **Traditional alternative development:** This has been defined by the CICAD Group of Experts as, "A process to prevent and eliminate the illicit cultivation of plants containing narcotic drugs and psychotropic substances through specifically designed rural development measures in the context of sustained national economic growth and sustainable development efforts in countries taking action against drugs, recognizing the particular socio-cultural characteristics of the target communities and groups, within the framework of a comprehensive and permanent solution to the problem of illicit drugs."

⁽²⁾ **Value of projects in operation:** This refers to the funds earmarked for alternative and preventive development projects currently in operation.

28

Impact of alternative development programs

DRUG PRODUCTION AND ALTERNATIVE DEVELOPMENT

PURPOSE OF INDICATOR:

EXISTENCE OF ALTERNATIVE DEVELOPMENT PROGRAMS TO COMPLEMENT ACTIONS OF INTERDICTION AND CONTROL, AND TO PROVIDE NEW AND LICIT PRODUCTION OPPORTUNITIES

A. What effectiveness did alternative development⁽¹⁾ or similar programs have in your country during the period under study?

| | | |
|----|--|--|
| 1. | Number of families benefited | |
| 2. | Increase in the total area of legal crops ⁽²⁾ | |
| 3. | Number of farmers participating in alternative development programs | |
| 4. | Direct employment generated by alternative development programs ⁽³⁾ | |

B. What effects did alternative development or similar programs⁽⁴⁾ have (basic services, transportation infrastructure)?

| | Type of works | Number ⁽⁵⁾ |
|----|---------------|-----------------------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |

C. 1. Do the alternative development or similar projects have a mechanism for evaluating impact?

Y N

2. If the answer is yes, please explain the key elements⁽⁶⁾ of the evaluation mechanisms.

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **According to the definition of the CICAD Group of Experts, alternative development is:** "A process to prevent and eliminate the illicit cultivation of plants containing narcotic drugs and psychotropic substances through specifically designed rural development measures in the context of sustained national economic growth and sustainable development efforts in countries taking action against drugs, recognizing the particular socio-cultural characteristics of the target communities and groups, within the framework of a comprehensive and permanent solution to the problem of illicit drugs."

(2) **Increase in the area of legal crops:** This is the total increase in the surface area of legal crops that exist at year end that did not exist the previous year.

(3) **Direct employment generated:** This refers to the number of jobs generated as a direct result of the projects.

(4) **Development in program zones:** This refers to, for example, the increase in road infrastructure, telecommunications, hospitals, schools, banks, electricity, potable water, among others.

(5) **Number:** This requires a quantitative answer such as number of hospitals, amount of new roads, number of new schools, number of new processing centers, etc.

(6) **Key elements** that may be used to design an effective mechanism to evaluate alternative development projects can include the following questions: Does it measure short, medium and long term impact?; Does it analyze the cost-benefit ratio of project resources utilized?; Does it take in consideration the overall time in the development of the project?; Does it take into account acceptable mitigating circumstances, and, Is the assessment and/or assessor objective?

29

Illicit laboratories destroyed per year (by organic and synthetic drugs produced) and the quantities of drugs that could have been produced in the laboratory

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

REDUCTION OF ILLICIT CULTIVATION OF PLANTS FOR DRUG PRODUCTION

- A. 1. How many illicit drug laboratories ⁽¹⁾ were destroyed in your country during the past three years by estimated potential annual production capacity ⁽²⁾?

| Illicit Drugs | Number of illicit laboratories destroyed | | | | | | | | | | | |
|---------------------|--|---|---|----|------|---|---|----|------|---|---|----|
| | 2000 | | | | 2001 | | | | 2002 | | | |
| | S | M | L | UK | S | M | L | UK | S | M | L | UK |
| a. Cocaine | | | | | | | | | | | | |
| b. Heroin | | | | | | | | | | | | |
| c. Synthetic Drugs | | | | | | | | | | | | |
| d. Others (specify) | | | | | | | | | | | | |
| e. Total | | | | | | | | | | | | |

S = small M = medium L = large UK = unknown

2. Not Applicable

- B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Laboratories** refer to facilities or locations where drugs are produced, manufactured or otherwise prepared (including processing pits). These drugs include organic based substances such as cocaine, heroin, hashish etc as well as synthetic drugs such as amphetamine-like stimulants, methamphetamine and “designer drugs”.

(2) **Potential annual production capacity** refers to the quantities of illicit drugs that the laboratory could have produced during the course of a year if it had not been seized and destroyed. A relative measure of “small” (S), “medium” (M) and “large” (L) is proposed for defining potential capacity. Where data is not available regarding the relative size of a laboratory that is destroyed then figures may be presented as “unknown” (UK). The thresholds for each of the foregoing designations are as follows:

| | Drugs | Units of measure | Small | Medium | Large |
|----|-----------------|-------------------------|--------------|---------------|--------------|
| 1. | Cocaine HCL | Kg per year | < 100 | 101 – 1,000 | >1,000 |
| 2. | Heroin | Kg per year | < 50 | 51 - 500 | > 500 |
| 3. | Synthetic drugs | Dosage units per year | < 100K | 100K – 500K | > 500K |

Dosage unit refers to the form in which the drug might be contained for consumption such as a tablet, pill, capsule and blotter.

[date]

30

Operational scope of activities of national entity or entities responsible for controlling pharmaceutical products and preventing their diversion

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF PHARMACEUTICAL PRODUCTS

- A. What national organization(s) has (have) the principal responsibility for controlling and preventing the diversion of **pharmaceutical products** ⁽¹⁾?

- B. What pharmaceutical products listed in the International Conventions are not controlled in your country?

C. Which of the following are included in the scope of responsibilities of the foregoing?

| | Y | N | |
|----|--------------------------|--------------------------|---|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Import/export control |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | License control (manufacture, distribution) |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Monitoring distribution |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Inspection ⁽²⁾ /investigation ⁽³⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Regulatory control ⁽⁴⁾ |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Administrative sanctions ⁽⁵⁾ |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Registry of Licensees ⁽⁶⁾ including pharmacies |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Transport control ⁽⁷⁾ |
| 9. | <input type="checkbox"/> | <input type="checkbox"/> | Other <input type="text"/> |

D. 1. Is there a formal mechanism in place to evaluate the effectiveness of these entities?

| Y | N |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |

2. If the answer is "yes", what mechanisms or criteria are used to assess the effectiveness of these entities?

E. What major problems or impediments have these national entities encountered in effectively fulfilling their responsibilities (such as limited resources, poor regulation, insufficient authority)?

F. Observations:

G. Agency providing information:

H. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Pharmaceutical products** means those substances defined in the U.N. Conventions 1961, as amended in 1972, 1971 and 1988 that are legally distributed for medical and scientific use.

(2) **Inspections** include activities such as site visits and audits that are part of a monitoring activity intended to produce compliance with relevant regulations and other administrative controls.

(3) **Investigations** are activities initiated regarding potential diversion or other irregularities identified or suspected.

(4) **Regulatory Control** is a system or procedures to ensure compliance with regulations established to control the use or distribution of pharmaceutical products.

(5) **Administrative Sanctions** are penalties applied to cases of regulatory noncompliance related to the use or distribution of pharmaceutical products. May include restriction on or removal of privileges to buy, sell, use or otherwise transact business with pharmaceutical products.

(6) **Registry of Licensees** includes registries of entities such as pharmacies, hospitals, manufacturers, distributors, wholesalers and others that are licensed or otherwise legally entitled to buy, sell, use, manufacture, distribute, transport or otherwise handle pharmaceutical products.

These entities are usually responsible for the implementation of the national system for the control of pharmaceutical products. This system normally includes a registry of companies, import/export licenses, and transport control.

(7) **Transport Control** is a system or procedures to minimize the diversion of pharmaceutical products being transported by air, road or other means (eg. from the manufacturer to a distributor or pharmacy). May include special authorizations or permits to ship or otherwise move quantities of pharmaceutical products.

[date]

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Operational scope of activities of national entities responsible for regulating controlled chemical substances and preventing their diversion

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF CONTROLLED CHEMICAL SUBSTANCES USED FOR THE ILLICIT MANUFACTURE OF DRUGS

- A. What national organization(s) has (have) principal responsibility for regulating and preventing the diversion of **controlled chemical substances** ⁽¹⁾?

- B. What controlled chemical substances listed in the United Nations International Conventions and the CICAD Model Regulations are not controlled in your country?

- C. What controlled chemical substances are controlled in your country?

D. Which of the following are included in the scope of responsibilities of the foregoing?

| | Y | N | |
|-----|--------------------------|--------------------------|---|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Import/export control |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | License control (manufacture, distribution) |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Monitoring distribution |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Inspection ⁽²⁾ /investigation ⁽³⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Regulatory control ⁽⁴⁾ |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Administrative sanctions ⁽⁵⁾ |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Registry of Licensees ⁽⁶⁾ |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Transport control ⁽⁷⁾ |
| 9. | <input type="checkbox"/> | <input type="checkbox"/> | Pre-export notifications ⁽⁸⁾ |
| 10. | <input type="checkbox"/> | <input type="checkbox"/> | Other <input type="text"/> |

E. 1. Is there a formal mechanism in place to evaluate the effectiveness of these entities?

| Y | N |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |

2. If the answer is "yes", what mechanisms or criteria are used to assess the effectiveness of these entities?

F. What major problems or impediments have these national entities encountered in effectively fulfilling their responsibilities (such as limited resources, poor regulation, insufficient authority)?

G. Observations:

H. Agency providing information:

I. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Controlled Chemical Substances** includes chemical substances listed in CICAD's Model Regulations as well as other chemical substances not included in CICAD's MR but controlled by the reporting country.

(2) **Inspections** include activities such as site visits and audits that are part of a monitoring activity intended to produce compliance with relevant regulations and other administrative controls.

(3) **Investigations** are activities initiated regarding potential diversion or other irregularities identified or suspected.

(4) **Regulatory Control** is a system or procedures to ensure compliance with regulations established to control the use or distribution of controlled chemical substances.

(5) **Administrative Sanctions** are penalties applied to cases of regulatory noncompliance related to the use or distribution of controlled chemical substances. May include restriction on or removal of privileges to buy, sell, use or otherwise transact business with controlled chemical substances.

(6) **Registry of Licensees** are registries of business entities such as manufacturers, distributors, wholesalers and others that are licensed or otherwise legally entitled to buy, sell, use, manufacture, distribute, transport or otherwise handle controlled chemical substances.

These entities coordinate implementation of the national chemical control system, which may include a registry of companies, import/export licenses, and transport control.

(7) **Transport Control** is a system or procedures to minimize the diversion of controlled chemical substances being transported by air, road or other means (eg. From the manufacturer to a distributor). May include special authorizations or permits to ship or otherwise move quantities of controlled chemical substances.

(8) **Pre-export notifications** refers to the exchange that takes place between a country proposing to export or re-export controlled chemical substances to another country which is the end recipient of the chemical or through which the chemicals will be transhipped. These notifications are used as a means to confirm the identity of end users of the consignment. They also provide an opportunity for the exchange of information among agencies responsible for the control of chemicals, to identify potential problem shipments and to provide advance word of a shipment for administrative, investigational and operational purposes.

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Regulation of the use and distribution of pharmaceutical products by health professionals

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF PHARMACEUTICAL PRODUCTS

- A. 1. Does your country have in place a mechanism to monitor and regulate the use and distribution of **pharmaceutical products** ⁽¹⁾ by those health professionals ⁽²⁾ authorized to do so?

Y N

2. If the answer is "yes", which of the following elements are included in this mechanism?

| | Y | N | |
|----|--------------------------------|--------------------------|---|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | Prescription requirement |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | Special licenses or permits to prescribe certain drugs |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | Distribution through pharmacies or other authorized outlets |
| d. | <input type="checkbox"/> | <input type="checkbox"/> | Monitoring distribution or purchases |
| e. | <input type="checkbox"/> | <input type="checkbox"/> | Monitoring prescribing |
| f. | <input type="checkbox"/> | <input type="checkbox"/> | Inspection ⁽³⁾ /investigation ⁽⁴⁾ |
| g. | <input type="checkbox"/> | <input type="checkbox"/> | Administrative sanctions ⁽⁵⁾ |
| h. | <input type="checkbox"/> | <input type="checkbox"/> | Registry of Licensee ⁽⁶⁾ |
| i. | <input type="checkbox"/> Other | | <input type="text"/> |

B. 1. Is there a formal mechanism in place to evaluate the effectiveness of this mechanism?

Y N

2. If the answer is "yes", which of the following criteria are used for this evaluation?

| | Y | N | |
|----|--------------------------------|--------------------------|--|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | Number of licenses to practice issued |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | Number of complaints received regarding unauthorized use, prescribing or distribution of pharmaceutical products |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | Number of investigations initiated |
| d. | <input type="checkbox"/> | <input type="checkbox"/> | Number of administrative sanctions applied |
| e. | <input type="checkbox"/> | <input type="checkbox"/> | Number of inspections initiated |
| f. | <input type="checkbox"/> | <input type="checkbox"/> | Percentage of inspections resulting in investigations |
| g. | <input type="checkbox"/> | <input type="checkbox"/> | Percentage of health professionals in regulatory compliance |
| h. | <input type="checkbox"/> Other | | <input type="text"/> |

3. Criteria by year:

| Criteria | 2000 | 2001 | 2002 |
|--|------|------|------|
| a. Number of licenses to practice issued | | | |
| b. Number of complaints received regarding professional practice | | | |
| c. Number of investigations initiated | | | |
| d. Number of administrative sanctions applied | | | |
| e. Number of inspections initiated | | | |
| f. Percentage of inspections resulting in investigations | | | |
| g. Percentage of all health professionals in regulatory compliance | | | |
| g1. physicians | | | |
| g2. dentists | | | |
| g3. pharmacists | | | |
| g4. veterinarians | | | |
| g5. nurses | | | |
| h. Other: (specify) | | | |

C. What major problems or impediments have these national entities encountered in effectively fulfilling their responsibilities (such as limited resources, poor regulation, insufficient authority)?

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Pharmaceutical products** means those substances defined in the U.N. Conventions 1961, as amended in 1972, 1971 and 1988 that are legally distributed for medical and scientific purposes.

(2) **Health Professionals** generally include pharmacists, physicians, dentists, nurses and veterinarians.

(3) **Inspections** include activities such as site visits and audits that are part of a monitoring activity intended to ensure compliance with relevant regulations and other administrative controls.

(4) **Investigations** are activities initiated regarding potential diversion, regulatory violations or other irregularities identified or suspected.

(5) **Administrative Sanctions** are penalties applied to cases of regulatory noncompliance related to the use or distribution of pharmaceutical products. May include restriction on or removal of privileges to buy, sell, use or otherwise transact business with pharmaceutical products.

(6) **Registry of Licensees** includes registries of dentists, physicians, veterinarians, pharmacists, and nurses that are licensed or otherwise legally entitled to buy, sell, use, distribute, transport or otherwise handle pharmaceutical products.

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Effective operational information exchange and collaboration among national authorities with responsibilities for pharmaceutical products

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF PHARMACEUTICAL PRODUCTS

A. How do you facilitate operational information exchange and collaboration among national authorities responsible for the control of **pharmaceutical products** ⁽¹⁾?

- | | Y | N | |
|----|--------------------------------|--------------------------|--|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency committee |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Joint forces/operations |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Joint training |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency information systems/networks ⁽²⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency communications systems/networks ⁽³⁾ |
| 6. | <input type="checkbox"/> Other | | <input type="text"/> |

B. 1. Is there a formal mechanism in place to evaluate the effectiveness of these means?

- Y N

2. If the answer is "yes", what mechanisms or criteria are used to assess the effectiveness of these means?

C. What major problems or impediments have been encountered in ensuring effective information exchange and collaboration?

D. How did these means facilitate operational exchange and collaboration regarding the effective control of pharmaceutical products?

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Pharmaceutical products** means those substances defined in the U.N. Conventions 1961, as amended in 1972, 1971 and 1988 that are legally distributed for medical and scientific purposes.

(2) **Interagency information systems/networks** refers to computerized or manual information databases to which the agencies have common access.

(3) **Interagency communications systems/networks** refers to a system that links the various agencies and facilitates communication and information exchange among the officials.

In most instances a mix of ministries, departments or agencies in a country is involved in different aspects of the control of pharmaceuticals.

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Effective operational information exchange and collaboration among national authorities with responsibilities for controlled chemical substances

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF CONTROLLED CHEMICAL SUBSTANCES USED FOR THE ILLICIT MANUFACTURE OF DRUGS

A. How do you promote or facilitate operational information exchange and collaboration among national authorities responsible for **controlled chemical substances** ⁽¹⁾?

- | | | | |
|----|--------------------------------|--------------------------|--|
| | Y | N | |
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency committee |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Joint forces/operations |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Joint training |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency information systems/networks ⁽²⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency communications systems/networks ⁽³⁾ |
| 6. | <input type="checkbox"/> Other | | |

B. 1. Is there a formal mechanism in place to evaluate the effectiveness of these means?

- | | |
|--------------------------|--------------------------|
| Y | N |
| <input type="checkbox"/> | <input type="checkbox"/> |

2. If the answer is "yes", what mechanisms or criteria are used to assess the effectiveness of these means?

- C. What major problems or impediments have been encountered in ensuring effective information exchange and collaboration?

- D. How did these means facilitate operational information exchange and collaboration on the effective regulation of controlled chemical substances?

- E. Observations:

- F. Agency providing information:

- G. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Controlled Chemical Substances** includes chemical substances listed in CICAD's Model Regulations as well as other chemical substances not included in CICAD's MR but controlled by the reporting country.

(2) **Interagency information systems/networks** refers to computerized or manual information databases to which the agencies have common access.

(3) **Interagency communications systems/networks** refers to a system that links the various agencies and facilitates communication and information exchange among the officials.

In most instances a mix of ministries, departments or agencies in a country is involved in different aspects regulating controlled chemical substances.

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Activities of regulatory agencies responsible for information exchange and collaboration between countries, in relation to the control of pharmaceutical products

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF PHARMACEUTICAL PRODUCTS

A. Does your country have in place one or more national entities responsible for the exchange of information and for collaboration with similar regulatory agencies in other countries regarding the control of **pharmaceutical products** ⁽¹⁾ ?

- | | | | |
|----|--------------------------|--------------------------|------------------|
| | Y | N | |
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | one entity |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | several entities |

B. Which of the following are included in the scope of responsibilities of the foregoing?

- | | | | |
|----|--------------------------|--------------------------|--|
| | Y | N | |
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Import/export control |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | License control (manufacture, distribution) |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Monitoring distribution |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Inspection ⁽²⁾ /investigation ⁽³⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Regulatory control ⁽⁴⁾ |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Administrative sanctions ⁽⁵⁾ |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Registry of authorized health professionals ⁽⁶⁾ and entities ⁽⁷⁾ including pharmacies and others |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Transport control ⁽⁸⁾ |
| 9. | Other | | |

C. In accordance with their legal authorities, what kinds of information do these organizations exchange?

D. 1. Is there a formal mechanism in place to evaluate the effectiveness of these entities?

Y N

2. If the answer is "yes", what mechanisms or criteria are used to assess the effectiveness of these entities?

E. What major problems or impediments have been encountered in ensuring effective information exchange and collaboration?

F. What are the principal achievements obtained to assure an effective exchange of information and collaboration?

G. Observations:

H. Agency providing information:

I. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Pharmaceutical products** means those defined in the U.N. Conventions 1961, as amended in 1972, 1971 and 1988 that are legally distributed for medical and scientific use.

(2) **Inspections** include activities such as site visits and audits that are part of a monitoring activity intended to ensure compliance with relevant regulations and other administrative controls.

(3) **Investigations** are activities initiated regarding potential diversion, regulatory violations or other irregularities identified or suspected.

(4) **Regulatory Control** is a system or procedures to ensure compliance with regulations established to control the use or distribution of pharmaceutical products.

(5) **Administrative Sanctions** are penalties applied to cases of regulatory noncompliance related to the use or distribution of pharmaceutical products. May include restriction on or removal of privileges to buy, sell, use or otherwise transact business with pharmaceutical products.

(6) **Health Professionals** generally include pharmacists, physicians, dentists, nurses and veterinarians.

(7) **Authorized entities** include pharmacies, hospitals, manufacturers, distributors, wholesalers and others that are licensed or otherwise legally entitled to buy, sell, use, manufacture, distribute, transport or otherwise handle pharmaceutical products.

In many instances a mix of ministries, departments or agencies in a country is involved in different aspects of the control of pharmaceuticals.

(8) **Transport Control** is a system or procedures to minimize the diversion of pharmaceutical products being transported by air, road or other means (e.g. From the manufacturer to a distributor or pharmacy). May include special authorizations or permits to ship or otherwise move quantities of pharmaceutical products.

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Activities of regulatory agencies responsible for information exchange and collaboration between countries, in relation to controlled chemical substances

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF CONTROLLED CHEMICAL SUBSTANCES USED FOR THE ILLICIT MANUFACTURE OF DRUGS

A. Does your country have in place one or more national entities responsible for the exchange of information and for collaboration with similar regulatory agencies in other countries regarding the control of **controlled chemical substances** ⁽¹⁾ ?

- | | Y | N | |
|----|--------------------------|--------------------------|------------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | one entity |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | several entities |

B. Which of the following are included in the scope of responsibilities of the foregoing?

- | | Y | N | |
|----|--------------------------|--------------------------|---|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Import/export control |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | License control (manufacture, distribution) |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Monitoring distribution |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Inspection ⁽²⁾ /investigation ⁽³⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Regulatory control ⁽⁴⁾ |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Administrative sanctions ⁽⁵⁾ |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Registry of authorized companies ⁽⁶⁾ |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Transport control ⁽⁷⁾ |
| 9. | <input type="checkbox"/> | <input type="checkbox"/> | Other |

C. In accordance with their legal authorities, what kind of information do these organizations exchange?

D. 1. Is there a formal mechanism in place to evaluate the effectiveness of these entities?

Y N

2. If the answer is "yes", what mechanisms or criteria are used to assess the effectiveness of these entities?

E. What major problems or impediments have been encountered in ensuring effective information exchange and collaboration?

F. What are the principal achievements obtained to assure an effective exchange of information and collaboration?

G. Observations:

H. Agency providing information:

I. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Controlled Chemical Substances** includes chemical substances listed in CICAD's Model Regulations as well as other chemical substances not included in CICAD's MR but controlled by the reporting country.

(2) **Inspections** include activities such as site visits and audits that are part of a monitoring activity intended to ensure compliance with relevant regulations and other administrative controls.

(3) **Investigations** are activities initiated regarding potential diversion, regulatory violations or other irregularities identified or suspected.

(4) **Regulatory Control** is a system or procedures to ensure compliance with regulations established to control the use or distribution of controlled chemical substances.

(5) **Administrative Sanctions** are penalties applied to cases of regulatory noncompliance related to the use or distribution of controlled chemical substance. May include restriction on or removal of privileges to buy, sell, use or otherwise transact business with controlled chemical substances.

(6) **Authorized companies** are business entities such as manufacturers, distributors, wholesalers and others that are licensed or otherwise legally entitled to buy, sell, use, manufacture, distribute, transport or otherwise handle controlled chemical substances.

In most instances a mix of ministries, departments or agencies in a country is involved in different aspects of the control of chemical substances.

(7) **Transport Control** is a system or procedures to minimize the diversion of controlled chemical substances being transported by air, road or other means (e.g. From the manufacturer to a distributor). May include special authorizations or permits to ship or otherwise move quantities of controlled chemical substances.

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National laws and/or regulations for penal, civil and administrative sanctions against the diversion of pharmaceutical products and controlled chemical substances; number of sanctions by type and regulated group, by year

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF PHARMACEUTICAL PRODUCTS AND CONTROLLED CHEMICAL SUBSTANCES USED FOR THE ILLICIT MANUFACTURE OF DRUGS

- A. Does your country make provision in national laws and/or regulations for penal, civil and administrative sanctions against the diversion of pharmaceutical products ⁽¹⁾ and controlled chemical substances ⁽²⁾ in accordance with International Conventions?

| | Penal Sanctions | | Civil Sanctions | | Administrative Sanctions | |
|----------------------------------|-----------------|----|-----------------|----|--------------------------|----|
| | Yes | No | Yes | No | Yes | No |
| 1 Pharmaceutical Products | | | | | | |
| 2 Controlled Chemical Substances | | | | | | |

- B. Please indicate the number of times that sanctions were applied during the last three years under such national laws and/or regulations by type (penal, civil, administrative), by regulated group (pharmaceutical products, controlled chemical substances).

| | Number Sanctions per Regulated Group | | | | | |
|------------------|--------------------------------------|------|------|--------------------------------|------|------|
| | Pharmaceutical Products | | | Controlled Chemical Substances | | |
| | 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| 1 Penal | | | | | | |
| 2 Civil | | | | | | |
| 3 Administrative | | | | | | |

C. What are the possible sanctions (minimum and maximum) that can be applied by type (penal, civil, administrative), by regulated group (pharmaceutical products, controlled chemical substances)?

| | Penal Sanctions | | Civil Sanctions | | Administrative Sanctions | |
|-------------------------------------|-----------------|---------|-----------------|---------|--------------------------|---------|
| | Minimum | Maximum | Minimum | Maximum | Minimum | Maximum |
| 1 Pharmaceutical products | | | | | | |
| 2 Controlled Chemical Substances | | | | | | |

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Pharmaceutical products** means those substances defined in the U.N. Conventions 1961, as amended in 1972, 1971 and 1988 that are legally distributed for medical and scientific purposes.

(2) **Controlled Chemical Substances** includes chemical substances listed in CICAD's Model Regulations (MR) as well as other chemical substances not included in CICAD's MR but controlled by the reporting country.

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Number of pre-export (re-exportation) notifications for controlled chemical substances, by year, sent by the Competent Authority of the exporter or transit country

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF CONTROLLED CHEMICAL SUBSTANCES USED FOR THE ILLICIT MANUFACTURE OF DRUGS

- A. How many pre-export notifications ⁽¹⁾ for controlled chemical substances ⁽²⁾ **did your country issue** during the past three years to countries importing or transshipping these chemicals?

| Number of Pre-export Notifications Issued | | | |
|---|------|------|------|
| Country | 2000 | 2001 | 2002 |
| | | | |
| Total | | | |

- B. What percentage of the pre-export notifications **sent by your country** in the last three years were rejected or resulted in an investigation in your country?

| 1. | Number of Pre-export Notifications Rejected by Importing or Transit Countries | | | Rejections as a Percentage of Total Notifications Sent | | |
|----|---|------|------|--|------|------|
| | 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | | |

| 2. | Number of Investigations initiated in your country | | | Investigations Initiated as a Percentage of Total Notifications Sent | | |
|----|--|------|------|--|------|------|
| | 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | | |

- C. What benefits have you experienced or realized through your use of pre-export notifications?

D. Indicate the number of problems which you may have encountered when sending a pre-export notification to a transit or importing country?

| | Y | N | Problems Encountered | Number of Times Problem Occurred | | |
|----|--------------------------------|--------------------------|------------------------------------|----------------------------------|------|------|
| | | | | 2000 | 2001 | 2002 |
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | No response | | | |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Late response | | | |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Request for additional information | | | |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Routine rejection/ refusal | | | |
| 5. | <input type="checkbox"/> Other | | | | | |

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Pre-export notifications** refers to the exchange that takes place between a country proposing to export or re-export controlled chemical substances to another country which is the end recipient of the chemical or through which the chemicals will be transshipped. **These notifications are used as a means to confirm the identity of end users of the consignment.** They also provide an opportunity for the exchange of information among agencies responsible for the control of chemicals, to identify potential problem shipments and to provide advance word of a shipment for administrative, investigational and operational purposes.

(2) **Controlled Chemical Substances** includes chemical substances listed in CICAD's Model Regulations as well as other chemical substances not included in CICAD's MR but controlled by the reporting country.

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Percentage of pre-export notifications for controlled chemical substances replied to on time by your country relative to the number of pre-export notifications received, by year

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF CONTROLLED CHEMICAL SUBSTANCES USED FOR THE ILLICIT MANUFACTURE OF DRUGS

- A. How many pre-export notifications ⁽¹⁾ for controlled chemical substances⁽²⁾ **were received by your country** in the last three years and what percentage did you respond to in a timely manner?

| Number of Pre-export Notifications Received by your country | | | Number of Timely Replies Sent by your country (maximum of 15 days) | | | Timely Replies as a Percentage of Total Notifications Received | | |
|---|------|------|--|------|------|--|------|------|
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | | | | |

- B. What percentage of responses to pre-export notifications **received by your country** from exporting countries in the last three years did you reject or resulted in an investigation in your country?

1.

| Number of Pre-export Notifications Rejected by your country | | | Rejections as a Percentage of Total Notifications Received | | |
|---|------|------|--|------|------|
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

2.

| Number of Investigations initiated by your country | | | Investigations Initiated as a Percentage of Total Notifications Received | | |
|--|------|------|--|------|------|
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

C. What benefits have you experienced or realized through your use of pre-export notifications?

D. Indicate the problems which you may have encountered when attempting to respond to pre-export notifications received by your country from exporting countries.

| | Y | N | Problems Encountered | Number of Times Problem Occurred | | |
|----|--------------------------|--------------------------|--|----------------------------------|------|------|
| | | | | 2000 | 2001 | 2002 |
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Insufficient time to respond before scheduled shipping | | | |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Insufficient information | | | |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Incorrect information | | | |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Other | | | |

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Pre-export notifications** refers to the exchange that takes place between a country proposing to export or re-export controlled chemical substances to another country which is the end recipient of the chemical or through which the chemicals will be transshipped. **These notifications are used as a means to confirm the identity of end users of the consignment.** They also provide an opportunity for the exchange of information among agencies responsible for the control of chemicals, to identify potential problem shipments and to provide advance word of a shipment for administrative, investigational and operational purposes.

(2) **Controlled Chemical Substances** includes chemical substances listed in CICAD's Model Regulations as well as other chemical substances not included in CICAD's MR but controlled by the reporting country.

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Pharmaceutical products seized, by number and quantities and disposed of by substance, by quantity and by year

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF PHARMACEUTICAL PRODUCTS

- A. How many seizures⁽¹⁾ involving **pharmaceutical products**⁽²⁾ were made during the past three years and what volumes/quantities did this involve?

| Pharmaceutical Products (name) | Number of seizures | | | Unit of measure | Quantities seized | | |
|--------------------------------|--------------------|------|------|-----------------|-------------------|------|------|
| | 2000 | 2001 | 2002 | | 2000 | 2001 | 2002 |
| | | | | | | | |
| Total | | | | | | | |

- B. What seized pharmaceutical products were disposed of ⁽³⁾ during the past three years and what volumes/quantities did this involve?

| Pharmaceutical Products (name) | Unit of measure | Quantities Disposed Of | | |
|--------------------------------|-----------------|------------------------|------|------|
| | | 2000 | 2001 | 2002 |
| | | | | |
| Total | | | | |

C. Which of the following methods are routinely used to dispose of seized pharmaceutical products?

| | Y | N | |
|----|--------------------------|--------------------------|-------------------------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Dilution |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Dissolving |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Neutralization ⁽⁴⁾ |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Incineration |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Sale |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Other |

D. What do you plan to do with seized pharmaceutical products that did not receive final disposition?

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS / EXPLANATIONS:

- (1) **Seizure** means temporarily prohibiting the transfer, conversion, disposition or movement of property or temporarily assuming custody or control of property.
- (2) **Pharmaceutical products** means those substances defined in the U.N. Conventions 1961, as amended in 1972, 1971 and 1988 that are legally distributed for medical and scientific purposes.
- (3) **Disposed of** includes sale (where permitted) and destruction or otherwise rendering unusable (eg. dilution, neutralization, incineration). The authority to dispose of these pharmaceutical substances and the circumstances under which this can be done are usually defined by legislation or regulations. In most cases this requires a formal act of a competent legal authority.
- (4) **Neutralization** refers to a process that changes the chemical composition or nature of the pharmaceutical substance rendering it useless for diversion and abuse.

41

Controlled chemical substances seized, by number and quantities, and disposed of by substance, by quantity and by year

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO PREVENT DIVERSION OF CONTROLLED CHEMICAL SUBSTANCES USED FOR THE ILLICIT MANUFACTURE OF DRUGS

- A. How many seizures ⁽¹⁾ involving **controlled chemical substances** ⁽²⁾ were made during the past three years and what volumes/quantities did this involve?

| Controlled Chemical Substances (name) | Number of seizures | | | Unit of measure | Quantities seized | | |
|---------------------------------------|--------------------|------|------|-----------------|-------------------|------|------|
| | 2000 | 2001 | 2002 | | 2000 | 2001 | 2002 |
| | | | | | | | |
| Total | | | | | | | |

- B. What seized controlled chemical substances were disposed ⁽³⁾ of during the past three years and what volumes/quantities did this involve?

| Controlled Chemical Substances (name) | Unit of measure | Quantities Disposed Of | | |
|---------------------------------------|-----------------|------------------------|------|------|
| | | 2000 | 2001 | 2002 |
| | | | | |
| Total | | | | |

C. Which of the following methods are routinely used to dispose of seized controlled chemical substances?

| | Y | N | |
|----|--------------------------|--------------------------|-------------------------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Dilution |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Dissolving |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Neutralization ⁽⁴⁾ |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Incineration |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Sale |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Other |

D. What do you plan to do with seized controlled chemical substances that did not receive final disposition?

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS / EXPLANATIONS:

- (1) **Seizure** means temporarily prohibiting the transfer, conversion, disposition or movement of property or temporarily assuming custody or control of property.
- (2) **Controlled Chemical Substances** includes chemical substances listed in CICAD's Model Regulations as well as other chemical substances not included in CICAD's MR but controlled by the reporting country
- (3) **Disposed of** includes sale (where permitted) and destruction or otherwise rendering unusable (eg. dilution, neutralization, incineration). The authority to dispose of these controlled chemical substances and the circumstances under which this can be done are usually defined by legislation or regulations. In most cases this requires a formal act of a competent legal authority.
- (4) **Neutralization** refers to a process that changes the chemical composition or nature of the controlled chemical substance rendering it useless for diversion and use in the production of illicit drugs.

42

Number of drug seizures by law enforcement agencies and quantities of drugs seized by substance, by measure and by year

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO STEM AND/OR ELIMINATE ILLICIT DRUG TRAFFICKING

A. Cite number of drug seizures⁽¹⁾ by law enforcement agencies during the past three years.

| Type of Drugs | Number of Drug Seizures | | |
|---------------------------------------|-------------------------|------|------|
| | 2000 | 2001 | 2002 |
| 1. Opium | | | |
| 2. Poppy Plants | | | |
| 3. Poppy Seeds | | | |
| 4. Morphine | | | |
| 5. Heroin | | | |
| 6. Other Opiates | | | |
| 7. Coca Leaf | | | |
| 8. Coca Paste | | | |
| 9. Cocaine Base | | | |
| 10. Cocaine Hydrochloride | | | |
| 11. Crack Cocaine | | | |
| 12. Basuco (residues or impurities) | | | |
| 13. Cannabis plants | | | |
| 14. Leaf Cannabis (grass) | | | |
| 15. Cannabis Resin (hashish) | | | |
| 16. Hashish Oil (liquid cannabis) | | | |
| 17. Cannabis Seed | | | |
| 18. Amphetamine/methamphetamine | | | |
| 19. MDMA (Ecstasy) | | | |
| 20. Other amphetamine-like stimulants | | | |
| 21. Others (specify) | | | |

B. Cite quantities of drugs seized⁽¹⁾ by law enforcement agencies during the past three years.

| | Type of Drugs | Unit of Measure | Quantity | | |
|-----|-----------------------------------|-----------------|----------|------|------|
| | | | 2000 | 2001 | 2002 |
| 1. | Opium | | | | |
| 2. | Poppy Plants | | | | |
| 3. | Poppy Seeds | | | | |
| 4. | Morphine | | | | |
| 5. | Heroin | | | | |
| 6. | Other Opiates | | | | |
| 7. | Coca Leaf | | | | |
| 8. | Coca Paste | | | | |
| 9. | Cocaine Base | | | | |
| 10. | Cocaine Hydrochloride | | | | |
| 11. | Crack Cocaine | | | | |
| 12. | Basuco (residues or impurities) | | | | |
| 13. | Cannabis plants | | | | |
| 14. | Leaf Cannabis (grass) | | | | |
| 15. | Cannabis Resin (hashish) | | | | |
| 16. | Hashish Oil (liquid cannabis) | | | | |
| 17. | Cannabis Seed | | | | |
| 18. | Amphetamine/ methamphetamine | | | | |
| 19. | MDMA (Ecstasy) | | | | |
| 20. | Other amphetamine-like stimulants | | | | |
| 21. | Others (specify) | | | | |

C. Which of the following methods are routinely used to dispose of ⁽²⁾ seized illicit drugs?

| | Y | N | |
|----|--------------------------------|--------------------------|--------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Dilution |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Dissolving |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Incineration |
| 4. | <input type="checkbox"/> Other | | |

D. What is done with seized illicit drugs that are not disposed of?

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Seizure** means temporarily prohibiting the transfer, conversion, disposition or movement of property or temporarily assuming custody or control of property.

(2) **Disposed of** includes sale (where permitted) and destruction or otherwise rendering unusable (eg. dilution, neutralization, incineration). The authority to dispose illicit drugs and the circumstances under which this can be done are usually defined by legislation or regulations. In most cases this requires a formal act of a competent legal authority.

43

Number of persons arrested/charged for illicit drug trafficking, and for illicit possession of drugs

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO STEM AND/OR ELIMINATE ILLICIT DRUG TRAFFICKING

Civil Law countries answer A and Common Law countries answer B

- A. During the past three years, how many people were arrested in your country for **illicit drug trafficking** ⁽¹⁾ ?

| Illicit Drug Trafficking | | |
|----------------------------|------|------|
| Number of persons arrested | | |
| 2000 | 2001 | 2002 |
| | | |

- B. During the past three years, how many people were charged in your country for **illicit drug trafficking** ?

| Illicit Drug Trafficking | | |
|---------------------------|------|------|
| Number of persons charged | | |
| 2000 | 2001 | 2002 |
| | | |

Civil Law countries answer C, D and E (as applicable)

- C. Is possession for personal use an offence in your country?

Y N

[COUNTRY]

- D. During the past three years, how many people were arrested in your country for **illicit drug possession**⁽²⁾?

| Illicit Drug Possession | | |
|----------------------------|------|------|
| Number of persons arrested | | |
| 2000 | 2001 | 2002 |
| | | |

- E. Of these, how many people were arrested in your country for **illicit drug possession for personal use**?

| Illicit Drug Possession for personal use | | |
|--|------|------|
| Number of persons arrested | | |
| 2000 | 2001 | 2002 |
| | | |

Common Law countries answer F and G

- F. Is possession for personal use an offence in your country?

Y N

- G. During the past three years, how many people were charged in your country for **illicit drug possession**?

| Illicit Drug Possession | | |
|---------------------------|------|------|
| Number of persons charged | | |
| 2000 | 2001 | 2002 |
| | | |

- H. What criteria⁽³⁾ or thresholds are used to determine if a person will be arrested or charged for possession for personal use versus trafficking? (It is recognized that in some countries possession for personal consumption is not punished.)

| |
|--|
| |
|--|

- I. Observations:

| |
|--|
| |
|--|

[COUNTRY]

J. Agency providing information:

K. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Illicit drug trafficking** is as referred to in Article 3, paragraphs 1 and 2 of the 1988 U.N. Convention. Generally speaking this means possession for the purpose of trafficking, cultivation, production (including manufacturing and processing), import/export, distribution and sale.

(2) **Illicit drug possession** refers to possession not related to trafficking. The specific offences are defined by domestic legislation and can include but are not restricted to personal use or consumption among others.

(3) **Criteria** for arrest for possession for personal use include, for example, the quantities of drugs found in the person's possession.

In this indicator the terms "common law" and "civil law" respectively, are employed to describe in general terms, the legal systems of the English-speaking countries of the Americas on the one hand and those of the Spanish, Portuguese, French and Dutch-speaking countries of the hemisphere on the other. Generally the legal tradition of the English-speaking countries flows from the laws of England based originally on the common customs of the country, while the legal traditions of the other countries of the hemisphere derive from Roman law overlaid by Napoleonic and German legal influences.

44

Number of persons tried for illicit drug trafficking and for illicit possession of drugs relative to the number of arrests

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO STEM AND/OR ELIMINATE ILLICIT DRUG TRAFFICKING

Only Civil Law countries need reply to this Indicator
Common Law countries proceed to Indicator 45

- A. During the past three years, how many persons have been tried for illicit drug trafficking⁽¹⁾, relative to the number of arrests on a percentage basis?

| Illicit Drug Trafficking | | | | | |
|--------------------------|------|------|--|------|------|
| Number of persons tried | | | % relative to number of persons arrested | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

- B. Is possession for personal use an offence in your country?

Y N

- C. During the past three years, how many persons have been tried for illicit drug possession⁽²⁾, relative to the number of arrests on a percentage basis?

| Illicit Drug Possession | | | | | |
|-------------------------|------|------|--|------|------|
| Number of persons tried | | | % relative to number of persons arrested | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

D. Of these, how many persons have been tried for **illicit drug possession for personal use**, relative to the number of arrests on a percentage basis?

| Illicit Drug Possession for personal use | | | | | |
|--|------|------|--|------|------|
| Number of persons tried | | | % relative to number of persons arrested | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

E. What criteria⁽³⁾ or thresholds are used to determine if a person will be tried for possession for personal use versus trafficking? (It is recognized that in some countries possession for personal consumption is not punished.)

F. Observations:

G. Agency providing information:

H. Official providing information:

DEFINITIONS AND EXPLANATIONS:

⁽¹⁾ **Illicit drug trafficking** is as referred to in Article 3, paragraphs 1 and 2 of the 1988 U.N. Convention. Generally speaking this means possession for the purpose of trafficking, cultivation, production (including manufacturing and processing), import/export, distribution and sale.

⁽²⁾ **Illicit drug possession** refers to possession not related to trafficking. The specific offences are defined by domestic legislation and can include but are not restricted to personal use or consumption among others.

⁽³⁾ **Criteria** for trial for possession for personal use include for example the quantities of drugs found in the person's possession.

The answer should include the total number of persons tried and the percentage that this number represents relative to the number of persons arrested. The indicator recognizes that arrests, trials and convictions may take place in different years.

In this indicator the terms "common law" and "civil law" respectively, are employed to describe in general terms, the legal systems of the English-speaking countries of the Americas on the one hand and those of the Spanish, Portuguese, French and Dutch-speaking countries of the hemisphere on the other. Generally the legal tradition of the English-speaking countries flows from the laws of England based originally on the common customs of the country, while the legal traditions of the other countries of the hemisphere derive from Roman law overlaid by Napoleonic and German legal influences.

45

Number of persons convicted for illicit drug trafficking and for illicit possession of drugs relative to number of persons tried/charged

SUPPLY REDUCTION

PURPOSE OF INDICATOR:

TO STEM AND/OR ELIMINATE ILLICIT DRUG TRAFFICKING

Civil Law countries answer A and Common Law countries answer B

- A. During the past three years, how many persons have been convicted for **illicit drug trafficking** ⁽¹⁾ relative to the number of persons tried on a percentage basis?

| Illicit Drug Trafficking | | | | | |
|-----------------------------|------|------|---------------------------------------|------|------|
| Number of persons convicted | | | % relative to number of persons tried | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

- B. During the past three years, how many persons have been convicted for **illicit drug trafficking** relative to the number of persons charged on a percentage basis?

| Illicit Drug Trafficking | | | | | |
|-----------------------------|------|------|---|------|------|
| Number of persons convicted | | | % relative to number of persons charged | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

Civil Law countries answer C, D and E (as applicable)

- C. Is possession for personal use an offence in your country?

Y N

[COUNTRY]

- D. During the past three years, how many persons have been convicted for **illicit drug possession**⁽²⁾, relative to the number of persons tried on a percentage basis?

| Illicit Drug Possession | | | | | |
|-----------------------------|------|------|---------------------------------------|------|------|
| Number of persons convicted | | | % relative to number of persons tried | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

- E. Of these, how many persons have been convicted for **illicit drug possession for personal use**, relative to the number of persons tried on a percentage basis?

| Illicit Drug Possession for personal use | | | | | |
|--|------|------|---------------------------------------|------|------|
| Number of persons convicted | | | % relative to number of persons tried | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

Common Law countries answer F and G

- F. Is possession for personal use an offence in your country?

Y N

- G. During the past three years, how many persons have been convicted for **illicit drug possession**, relative to the number of persons charged on a percentage basis?

| Illicit Drug Possession | | | | | |
|-----------------------------|------|------|---|------|------|
| Number of persons convicted | | | % relative to number of persons charged | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

- H. Observations:

- I. Agency providing information:

- J. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Illicit drug trafficking** is as referred to in Article 3, paragraphs 1 and 2 of the 1988 U.N. Convention. Generally speaking this means possession for the purpose of trafficking, cultivation, production (including manufacturing and processing), import/export, distribution and sale.

(2) **Illicit drug possession** refers to possession not related to trafficking. The specific offences are defined by domestic legislation and can include but are not restricted to personal use or consumption among others.

The answer should include the total number of persons convicted and the percentage that this number represents relative to the number of persons tried or charged. The indicator recognizes that arrests, trials, charges and convictions may take place in different years.

Where applicable, countries may indicate in Section H (Observations), whether in cases of possession for personal use, their legislation provides for the termination or suspension of a case or other alternatives to prosecution such as treatment, education or other measures.

In this indicator the terms "common law" and "civil law" respectively, are employed to describe in general terms, the legal systems of the English-speaking countries of the Americas on the one hand and those of the Spanish, Portuguese, French and Dutch-speaking countries of the hemisphere on the other. Generally the legal tradition of the English-speaking countries flows from the laws of England based originally on the common customs of the country, while the legal traditions of the other countries of the hemisphere derive from Roman law overlaid by Napoleonic and German legal influences.

46

Operational information exchange and collaboration among national authorities with responsibilities for controlling illicit drug trafficking

CONTROL MEASURES

PURPOSE OF INDICATOR:

To Prevent and Repress Illicit Drug Trafficking

A. How do you promote or facilitate operational information exchange and collaboration among national authorities responsible for **controlling illicit drug trafficking**?

- | | Y | N | |
|----|--------------------------|--------------------------|--|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency committee |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Joint forces/operations |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Joint training |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency information systems/networks ⁽¹⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency communications systems/networks ⁽²⁾ |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Other |

B. Is there a formal mechanism in place to evaluate the effectiveness of these means?

- | Y | N |
|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> |

C. If the answer is "yes", what mechanisms or criteria are used to assess the effectiveness of these means?

D. What major problems or impediments have been encountered in ensuring effective information exchange and collaboration?

E. What are the principal achievements of the application of this mechanism?

F. What type of information is exchanged, on an international level, by each of the entities participating in the above-mentioned mechanisms, in accordance with their responsibilities?

G. Observations:

H. Agency providing information:

I. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Interagency information systems/networks** refers to computerized or manual information databases to which the agencies have common access.

(2) **Interagency communications systems/networks** refers to a system that links the various agencies and facilitates communication and information exchange among the officials.

[date]

47

Judicial cooperation to investigate and convict drug traffickers

CONTROL MEASURES

PURPOSE OF INDICATOR:

To Prevent and Repress Illicit Drug Trafficking

- A. Indicate the number of judicial cooperation requests regarding illicit drug trafficking **made by your country** to other states based on international agreements ⁽¹⁾ and the number of assenting replies received.

| Country to which the requests were made ⁽²⁾ | Number of requests | | | Number of assenting replies | | |
|--|---------------------|---------------------|---------------------|-----------------------------|------|------|
| | 2000 ⁽³⁾ | 2001 ⁽³⁾ | 2002 ⁽³⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. Indicate the number of judicial cooperation requests regarding illicit drug trafficking **received by your country** based on international agreements ⁽¹⁾ and the number of replies made granting the request.

| Country requesting cooperation ⁽²⁾ | Number of requests | | | Number of replies granting the request | | |
|---|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽³⁾ | 2001 ⁽³⁾ | 2002 ⁽³⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- C. Observations:

- D. Agency providing information:

E. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.

(2) Countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party, or if permitted by its domestic law, given the concern for confidentiality.

(3) Under the years indicated in the table, the number of requests does not necessarily have to match the number of replies. There may be more replies in a given year than requests, if they have accumulated from previous years.

[date]

48

The number of extradition requests for illicit drug trafficking made by your country to other States and the number of replies received, in accordance with international agreements

CONTROL MEASURES

PURPOSE OF INDICATOR:

TO PREVENT, CONTROL, AND REPRESS ILLICIT DRUG TRAFFICKING

- A. Indicate the number of requests for extradition in illicit drug trafficking cases, **made by your country to other states**, in accordance with international agreements⁽¹⁾ and the number of replies granting the request.

| Country to which the extradition requests were made ⁽²⁾ | Number of requests | | | Number of replies granting the request | | |
|--|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽³⁾ | 2001 ⁽³⁾ | 2002 ⁽³⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. Observations:

- C. Agency providing information:

- D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

- (1) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.
- (2) Countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party, or if permitted by its domestic law, given the concern for confidentiality.
- (3) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies; because of processing delays there may be more replies in a given year than requests, if they have accumulated from previous years.

49

The number of extradition requests received for illicit drug trafficking, in accordance with international agreements

CONTROL MEASURES

PURPOSE OF INDICATOR:

TO PREVENT, CONTROL, AND REPRESS ILLICIT DRUG TRAFFICKING

- A. Indicate the number of requests for extradition in illicit drug trafficking cases **received by your country from other states**, in accordance with international agreements ⁽¹⁾, and the number of replies granting the request.

| Country requesting extradition ⁽²⁾ | Number of requests | | | Number of replies granting the request | | |
|---|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽³⁾ | 2001 ⁽³⁾ | 2002 ⁽³⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. In cases where the request **was not granted**, please indicate reason.

| Year | Country requesting extradition ⁽²⁾ | Reasons for not granting ⁽⁴⁾ | | |
|--------------|---|---|--------------------------|-------|
| | | Error in form of the request | Insufficient legal basis | Other |
| 2000 | | | | |
| 2001 | | | | |
| 2002 | | | | |
| TOTAL | | | | |

C. Observations ⁽⁵⁾:

D. Agency providing information:

E. Official providing information:

DEFINITIONS AND EXPLANATIONS:

- (1) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.
- (2) Countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party, or if permitted by its domestic law, given the concern for confidentiality.
- (3) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies; because of processing delays there may be more replies in a given year than requests, if they have accumulated from previous years.
- (4) Indicate the amount of times in each category.
- (5) Under observations, other forms of informal cooperation among countries may be noted which lead to extradition.

50

Scope of legal provisions criminalizing acts of corruption

PURPOSE OF INDICATOR:

TO ESTABLISH EFFECTIVE LEGAL PROVISIONS TO PUNISH ACTS OF CORRUPTION

A. Does your country have laws and/or regulations that criminalize acts of corruption in accordance with the Inter-American Convention against Corruption?

| | Acts of Corruption Criminalized in the Convention | Yes | No | Title and articles of the national law and/or regulations | Penalty |
|----|---|------------|-----------|--|----------------|
| 1. | The solicitation or acceptance, directly or indirectly, by a government official or a person who performs public functions, of any article of monetary value, or other benefit, such as a gift, favor, promise or advantage for himself or for another person or entity, in exchange for any act or omission in the performance of his public functions (Art. VI a) | | | | |
| 2. | The offering or granting, directly or indirectly, to a government official or a person who performs public functions, of any article of monetary value, or other benefit, such as a gift, favor, promise or advantage for himself or for another person or entity, in exchange for any act or omission in the performance of his public functions (Art. VI b) | | | | |
| 3. | Any act or omission in the discharge of his duties by a government official or a person who performs public functions for the purpose of illicitly obtaining benefits for himself or for a third party (Art. VI c) | | | | |
| 4. | The fraudulent use or concealment of property derived from any of the acts referred to above (Art. VI d) | | | | |

[COUNTRY]

| | | | | | |
|-----|---|--|--|--|--|
| 5. | The offering or granting, directly or indirectly, by its nationals, persons having their habitual residence in its territory, and businesses domiciled there, to a government official of another State, of any article of monetary value, or other benefit, such as a gift, favor, promise or advantage, in connection with any economic or commercial transaction in exchange for any act or omission in the performance of that official's public functions (Art VIII) | | | | |
| 6. | A significant increase in the assets of a government official that he cannot reasonably explain in relation to his lawful earnings during the performance of his functions. (Art. IX) | | | | |
| 7. | The improper use by a government official or a person who performs public functions, for his own benefit or that of a third party, of any kind of classified or confidential information which that official or person who performs public functions has obtained because of, or in the performance of, his functions. (Art. XI 1a) | | | | |
| 8. | The improper use by a government official or a person who performs public functions, for his own benefit or that of a third party, of any kind of property belonging to the State or to any firm or institution in which the State has a proprietary interest, to which that official or person who performs public functions has access because of, or in the performance of, his functions. (Art. XI 1b) | | | | |
| 9. | Any act or omission by any person who, personally or through a third party, or acting as an intermediary, seeks to obtain a decision from a public authority whereby he illicitly obtains for himself or for another person any benefit or gain, whether or not such act or omission harms State property. (Art. XI 1c) | | | | |
| 10. | The diversion by a government official, for purposes unrelated to those for which they were intended, for his own benefit or that of a third party, of any movable or immovable property, monies or securities belonging to the State, to an independent agency, or to an individual, that such official has received by virtue of his position for purposes of administration, custody or for other reasons. (Art. XI 1d) | | | | |
| 11. | Other | | | | |

B. Indicate the number of public officials convicted for corruption crimes⁽¹⁾ related to drug trafficking⁽²⁾:

| | Year | Number of public officials convicted |
|----|------|--------------------------------------|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS AND EXPLANATIONS:

⁽¹⁾ **Corruption crimes** are those identified in Articles VI, VIII, IX, and XI of the Inter-American Convention against Corruption.

⁽²⁾ This indicator refers to public officials who commit a corruption crime related to drug trafficking, for example, judges or law enforcement agents receiving bribes from drug traffickers so as not to arrest or sentence those criminals.

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Number of public officials convicted for crimes related to drug trafficking

PURPOSE OF INDICATOR:

TO DETERMINE THE INCIDENCE OF CORRUPTION RELATING TO DRUG TRAFFICKING AMONG PUBLIC OFFICIALS

A. Indicate the number of public officials convicted for crimes related to drug trafficking⁽¹⁾.

| | Year | Number of public officials convicted |
|----|------|--------------------------------------|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS AND EXPLANATIONS:

⁽¹⁾ This indicator refers to public officials who commit a crime directly related to drug trafficking according to their national law, for example, those who belong to a drug cartel or drug trafficking organization.

[date]

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Operational scope of activities of national entity or entities responsible for controlling the movement of firearms and ammunition and preventing their diversion

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

A. Does your country have in place one or more national entities responsible for controlling the movement ⁽¹⁾ of firearms and ammunition ⁽²⁾ and preventing their diversion ⁽³⁾?

- 1. Yes, one entity
- 2. Yes, several entities
- 3. None

B. Which of the following are included in the scope of responsibilities of the above entity or entities?

| | Y | N | |
|----|--------------------------|--------------------------|---|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Issuance of import/export/in-transit licenses and authorizations ⁽⁴⁾ |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Information exchange with relevant national entities in other countries |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Information exchange within the country among relevant national entities |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Cancellation of licenses and authorizations |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Record-keeping |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Training and technical assistance |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Confiscation or forfeiture of illicitly trafficked firearms or ammunition |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Other <input type="text"/> |

C. Identify the national entity or entities responsible for controlling the movement of firearms and ammunition and preventing their diversion.

| National Entity or Entities |
|--|
| |

D. If there is more than one national entity responsible for controlling the movement of firearms and ammunition and preventing their diversion, which of the following means or mechanisms are used to promote or facilitate information exchange and collaboration among them ⁽⁵⁾?

| | Y | N | MEANS/ MECHANISMS OF COOPERATION |
|----|--------------------------|--------------------------|---|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency committee |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Joint forces/operations |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Joint training |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency information system/networks ⁽⁶⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency communication systems/networks ⁽⁷⁾ |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Other |

E. Identify by name the aforementioned means or mechanisms of cooperation to promote or facilitate operational information exchange and collaboration among the relevant national entities and indicate under whose authority they operate.

| Name | Authority |
|------|-----------|
| | |

F. 1. Is there a formal mechanism that evaluates the effectiveness of these national entities in controlling the movement of firearms and ammunition and in preventing their diversion?

Y N

2. If the answer is yes, what mechanisms or criteria are used to assess the effectiveness of these entities?

G. Observations:

H. Agency providing information:

I. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Movement** refers to the import, export, sale and in-transit movements of firearms. **Import** and **export** are defined as such in Article 1.3 of the OAS/CICAD Model Regulations for the Control of the International Movement of Firearms, their Parts and Components and Ammunition. **In-transit** movements are defined in ⁽⁴⁾ below.

(2) **Firearms** and **ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(3) **Diversions** occurs when firearms or ammunition pass from licit to illicit channels such as when they are employed in the commission of a crime or have moved into the illicit market.

(4) **In-Transit** movement occurs whenever a shipment passes through a customs jurisdiction that is neither the country of importation or exportation.

(5) In most instances a mix of ministries, departments or agencies in a country is involved in different aspects of the control of firearms and ammunition.

(6) **Interagency information systems/networks** refers to computerized or manual information databases to which the agencies have common access.

(7) **Interagency communications systems/networks** refers to a system that links the various agencies and facilitates communication and information exchange among the officials.

[date]

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Scope of national laws and/or regulations that criminalize the illicit trafficking of firearms and ammunition

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

- A. Provide the titles and relevant articles of the **national laws and/or regulations** that criminalize the illicit trafficking of firearms and ammunition ⁽¹⁾ and their sanction for non-compliance.

| Title and relevant articles that criminalize the illicit trafficking of firearms and ammunition ⁽²⁾ | Penalty ⁽³⁾ |
|--|------------------------|
| | |

- B. Observations:

- C. Agency providing information:

- D. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Illicit trafficking of firearms and ammunition** includes (a) the introduction into the country of firearms and/or ammunition in violation of the laws that regulate their importation, exportation or in-transit and (b) illegal commercial transactions within the country. In accordance with the legal framework of each country, this can be a special offense or included in other offenses such as, for example, smuggling. **Illicit trafficking** also takes its meaning from Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(2) **Firearms** and **ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(3) **Penalty** refers to the time imposed for the offenses of the illicit trafficking of firearms and ammunition. Please indicate whether or not there are provisions for additional sanctions, such as, for example, a fine.

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Number of persons arrested/charged/ tried and convicted for illicit trafficking of firearms and ammunition

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

Civil Law countries answer questions A, B and C. Common Law countries proceed to question D:

- A. During the past three years, how many persons **were arrested** in your country for illicit trafficking of firearms and ammunition⁽¹⁾?

| Illicit Trafficking of Firearms and Ammunition | | |
|--|------|------|
| Number of persons arrested | | |
| 2000 | 2001 | 2002 |
| | | |

- B. During the past three years, how many persons **were tried** for illicit trafficking of firearms and ammunition, relative to the number of persons arrested on a percentage basis?

| Illicit Trafficking of Firearms and Ammunition | | | | | |
|--|------|------|---|------|------|
| Number of persons tried | | | % relative to number of persons arrested ⁽²⁾ | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

- C. During the past three years, how many persons **were convicted** of illicit trafficking of firearms and ammunition relative to the number of persons tried on a percentage basis?

| Illicit Trafficking of Firearms and Ammunition | | | | | |
|--|------|------|--|------|------|
| Number of persons convicted | | | % relative to number of persons tried ⁽³⁾ | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

Common Law countries answer questions D and E:

D. During the past three years, how many persons **were charged** in your country with illicit trafficking of firearms and ammunition?

| Illicit Trafficking of Firearms and Ammunition | | |
|--|------|------|
| Number of persons charged | | |
| 2000 | 2001 | 2002 |
| | | |

E. During the past three years, how many persons **were convicted** of illicit trafficking of firearms and ammunition relative to the number of persons charged on a percentage basis?

| Illicit Trafficking of Firearms and Ammunition | | | | | |
|--|------|------|--|------|------|
| Number of persons convicted | | | % relative to number of persons charged ⁽⁴⁾ | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

F. Observations:

G. Agency providing information:

H. Official providing information:

DEFINITIONS AND EXPLANATIONS:

(1) **Illicit trafficking of firearms and ammunition** includes (a) the introduction into the country of firearms and/or ammunition in violation of the laws that regulate their importation, exportation or in-transit and (b) illegal commercial transactions within the country. In accordance with the legal framework of each country, this can be a special offense or included in other offenses such as, for example, smuggling. **Illicit trafficking** also takes its meaning from Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

- (2) **Percentage relative to the number of persons arrested:** To calculate this percentage, use the number of persons arrested provided in question (A).
- (3) **Percentage relative to the number of persons tried:** To calculate this percentage, use the number of persons tried provided in question (B).
- (4) **Percentage relative to the number of persons charged:** To calculate this percentage, use the number of persons charged provided in question (D).

In this indicator the terms "common law" and "civil law" respectively, are employed to describe in general terms, the legal systems of the English-speaking countries of the Americas on the one hand and those of the Spanish, Portuguese, French and Dutch-speaking countries of the hemisphere on the other. Generally the legal tradition of the English-speaking countries flows from the laws of England based originally on the common customs of the country, while the legal traditions of the other countries of the hemisphere derive from Roman law overlaid by Napoleonic and German legal influences.

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Scope of national laws and/or regulations that establish administrative controls to prevent the diversion of firearms and ammunition

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

- A. Provide the titles and relevant articles of the national laws and/or regulations that establish administrative controls ⁽¹⁾ that prevent the diversion ⁽²⁾ of firearms ⁽³⁾, the type of sanctions ⁽⁴⁾ in cases of non-compliance and the number of sanctions imposed for the indicated period.

| FIREARMS | | | | | |
|----------|--|----|---|--|---|
| | Operation under administrative control | | Title and articles of the laws and/or regulations | Type of sanctions in cases of non-compliance | Number of sanctions for the indicated period ⁽⁷⁾ |
| | Yes | No | | | |
| 1. | Importation ⁽⁵⁾ | | | | |
| 2. | Exportation | | | | |
| 3. | In-Transit ⁽⁶⁾ | | | | |

- B. Provide the titles and relevant articles of the national laws and/or regulations that establish administrative controls that prevent the diversion of ammunition ⁽³⁾, the type of sanctions in cases of non-compliance and the number of sanctions imposed for the indicated period.

| AMMUNITION | | | | | |
|------------|--|----|---|--|--|
| | Operation under administrative control | | Title and articles of the laws and/or regulations | Type of sanctions in cases of non-compliance | Number of sanctions for the indicated period |
| | Yes | No | | | |
| 1. | Importation ⁽⁵⁾ | | | | |
| 2. | Exportation | | | | |
| 3. | In-Transit ⁽⁶⁾ | | | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Administrative controls** refers to laws, decrees or other administrative measures issued by a regulatory agency.

(2) **Diversion** occurs when firearms or ammunition pass from licit to illicit channels such as when they are employed in the commission of a crime or have moved into the illicit market.

(3) **Firearms and ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(4) **Type of sanctions** refers to fine, suspension of license, etc.

(5) The terms **export and import** take their meaning from Article 1.3 of the OAS/CICAD Model Regulations for the Control of the International Movement of Firearms, their Parts and Components and Ammunition.

(6) **In-Transit** movements occur whenever a shipment passes through a customs jurisdiction that is neither the exporting nor the importing country.

(7) This refers to the period 2001-2002

[date]

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For the country of export, operation of national laws and/or regulations that require, before authorizing the export of shipments of firearms or ammunition, that the importing or in-transit countries have issued the necessary licenses or authorizations

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

- A. Provide the titles and relevant articles of **national laws and/or regulations** that require that the importing ⁽¹⁾ or in-transit ⁽²⁾ country issue the necessary licenses or authorizations, **prior to authorizing embarkation** of shipments of firearms or ammunition ⁽³⁾.

| Title and relevant articles |
|-----------------------------|
| |

- B. Provide the number of times a shipment of firearms or ammunition **was not authorized to be exported by your country** because the necessary licenses or authorizations were not issued from the importing or in-transit countries during the last three years.

| Year | Firearms Shipment | Ammunition Shipment |
|---------|-------------------|---------------------|
| 1. 2000 | | |
| 2. 2001 | | |
| 3. 2002 | | |

- C. Indicate the total quantities of firearms and ammunition **not permitted to be exported by your country** due to the lack of necessary licenses or authorizations from the importing or in-transit countries during the last three years.

| Year | Quantities of Firearms | Quantities of Ammunition |
|---------|------------------------|--------------------------|
| 1. 2000 | | |
| 2. 2001 | | |
| 3. 2002 | | |

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) The terms **export and import** take their meaning from Article 1.3 of the OAS/CICAD Model Regulations for the Control of Firearms, their Parts and Components and Ammunition.

(2) **In-Transit** movements occur whenever a shipment passes through a customs jurisdiction that is neither the exporting nor importing country.

(3) **Firearms** and **ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

[date]

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For the country of import, operation of national laws and/or regulations that require, before authorizing the entry of shipments of firearms or ammunition into your country, that the necessary import licenses or authorizations have first been issued

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

- A. Provide the titles and relevant articles of national laws and/or regulations that require that the necessary import licenses or authorizations be issued, ⁽¹⁾ prior to authorizing entry of a shipment of firearms or ammunition ⁽²⁾ into your country.

| Title and relevant articles |
|-----------------------------|
| |

- B. Provide the number of times a shipment of firearms or ammunition was not authorized for entry into your country because the necessary import licenses or authorizations were not issued in the last three years.

| Year | Firearms Shipment | Ammunition Shipment |
|---------|-------------------|---------------------|
| 1. 2000 | | |
| 2. 2001 | | |
| 3. 2002 | | |

- C. Provide the total quantities of firearms and ammunition that were not authorized for entry into your country due to the lack of a necessary import license or authorization in the last three years.

| Year | Quantities of Firearms | Quantities of Ammunition |
|---------|------------------------|--------------------------|
| 1. 2000 | | |
| 2. 2001 | | |
| 3. 2002 | | |

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) The term **importation** takes its meaning from Article 1.3 of the OAS/CICAD Model Regulations for the Control of Firearms, their Parts and Components and Ammunition.

(2) **Firearms** and **ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

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Quantity of illicitly trafficked firearms and ammunition confiscated

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

A. Quantities of illicitly trafficked ⁽¹⁾ **firearms** confiscated ⁽²⁾, by type ⁽³⁾.

| Type of Firearms | Quantity of firearms confiscated | | |
|------------------|----------------------------------|------|------|
| | 2000 | 2001 | 2002 |
| | | | |
| Total | | | |

B. Quantities of illicitly trafficked **ammunition** confiscated, by type.

| Type of Ammunition | Quantity of ammunition confiscated | | |
|--------------------|------------------------------------|------|------|
| | 2000 | 2001 | 2002 |
| | | | |
| Total | | | |

C. Provide quantities of firearms and ammunition ⁽⁴⁾ confiscated **in relation to arrests for illicit drug trafficking offenses** ⁽⁵⁾.

| | Year | Number of arrests | Quantity of firearms confiscated | Quantity of ammunition confiscated |
|----|------|-------------------|----------------------------------|------------------------------------|
| 1. | 2000 | | | |
| 2. | 2001 | | | |
| 3. | 2002 | | | |

D. Indicate the measures or mechanisms in place to prevent the return of confiscated firearms and ammunition to the illicit trade.

| | Y | N | |
|----|--------------------------------|--------------------------|-----------------------------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Destruction |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Donation to a governmental agency |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Sale to a governmental agency |
| 4. | <input type="checkbox"/> Other | | |

E. In the investigations of confiscated firearms and ammunition, is it possible to indicate, in percentage, whether any of them were destined for illicit drug trafficking organizations?

Y N

If the answer is Yes, please indicate in the following table:

| Destined for Illicit Drug Trafficking Organizations | | |
|---|------------|--------------|
| Year | % Firearms | % Ammunition |
| 1. 2000 | | |
| 2. 2001 | | |
| 3. 2002 | | |

F. Observations:

G. Agency providing information:

H. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Illicit trafficking of firearms and ammunition** includes (a) the introduction into the country firearms and/or ammunition in violation of the laws that regulate their importation, exportation or in-transit and (b) illegal commercial transactions within the country. In accordance with the legal framework of each country, this can be a special offense or included in other offenses such as, for example, smuggling. **Illicit trafficking** also takes its meaning from Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(2) Following the language from the Vienna Conventions: **"Confiscation"**, which includes forfeiture where applicable, means the permanent deprivation of property by order of a court or other competent authority.

(3) **Type** means the manner in which the firearms or ammunition have been classified or described.

(4) **Firearms** and **ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(5) **Illicit drug trafficking** means the offenses identified in Article 3, paragraphs 1 and 2 of the United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances 1988.

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Organization of a national database or record keeping system that maintains a record by dates, description and serial or lot numbers of firearms and ammunition imported, exported or moving in-transit

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

- A. Is there a national database or record keeping system that maintains a record (by dates, description and serial or lot numbers) of the importation, exportation ⁽¹⁾ and in-transit ⁽²⁾ of firearms and ammunition ⁽³⁾ ?

| Transaction | Firearms | | Ammunition | |
|----------------|----------|----|------------|----|
| | Yes | No | Yes | No |
| 1. Importation | | | | |
| 2. Exportation | | | | |
| 3. In-Transit | | | | |

- B. Provide the number of years the records are kept.

| Transaction | Firearms (No. of years) | Ammunition (No. of years) |
|----------------|----------------------------|------------------------------|
| 1. Importation | | |
| 2. Exportation | | |
| 3. In-Transit | | |

- C. Are these records computerized?

| Transaction | Firearms | | Ammunition | |
|----------------|----------|----|------------|----|
| | Yes | No | Yes | No |
| 1. Importation | | | | |
| 2. Exportation | | | | |
| 3. In-Transit | | | | |

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Importation** and **exportation** take their meaning from Article 1.3 of the OAS/CICAD Model Regulations for the Control of Firearms, their Parts and Components and Ammunition.

(2) **In-Transit** movements occur whenever a shipment passes through a customs jurisdiction that is neither the exporting nor importing country.

(3) **Firearms** and **ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

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Operational scope of activities of entities responsible for information exchange and collaboration between countries, in relation to the control of firearms and ammunition

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

A. Are there one or more national entities responsible for the exchange of information and for collaboration with similar agencies in other countries regarding the control of firearms and ammunition ⁽¹⁾?

- 1. Yes, one entity
- 2. Yes, several entities
- 3. None

B. Identify the national entity or entities responsible for the exchange of information and for collaboration with similar agencies in other countries regarding the control of firearms and ammunition and the type of information shared.

| National Entity or Entities | Type of information shared |
|-----------------------------|----------------------------|
| | |

C. If there is more than one national entity responsible for controlling the exchange of information and collaboration with similar agencies in other countries, which of the following means or mechanisms are used to promote or facilitate information exchange and collaboration among the national entities ⁽²⁾?

| | Y | N | MEANS/MECHANISMS OF COOPERATION |
|----|--------------------------------|--------------------------|---|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency committee |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Joint forces/operations |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Joint training |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency information system/networks ⁽³⁾ |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Interagency communication systems/networks ⁽⁴⁾ |
| 6. | <input type="checkbox"/> Other | | |

D. Identify by name the aforementioned means or mechanisms of cooperation to promote or facilitate information exchange and collaboration with similar agencies in other countries and indicate under whose authority they operate.

| NAME | AUTHORITY |
|------|-----------|
| | |

E. Observations:

F. Agency providing information:

G. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Firearms** and **ammunition** means those products defined as such in Article 1 of the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(2) In many instances a mix of ministries, departments or agencies in a country are involved in different aspects of the control of firearms and ammunition.

(3) **Interagency information systems/networks** refers to computerized or manual information databases to which the agencies have common access.

(4) **Interagency communications systems/networks** refers to a system that links the various agencies and facilitates communication and information exchange among the officials

[date]

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Number of requests made to other states to obtain information in relation to shipments of firearms and ammunition and replies received, taking into account international agreements

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

- A. Indicate the number of requests for information concerning shipments of firearms and ammunition⁽¹⁾ **made by your country to other states**, in accordance with international agreements⁽²⁾, and the number of replies providing the information requested.

| Country from which information was requested ⁽³⁾ | Number of requests | | | Number of replies providing the information requested | | |
|---|---------------------|---------------------|---------------------|---|------|------|
| | 2000 ⁽⁴⁾ | 2001 ⁽⁴⁾ | 2002 ⁽⁴⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. Indicate whether, based on the information received, it was possible to identify the route ⁽⁵⁾ and the source ⁽⁶⁾ of one or more of illicit firearms shipments. Please provide this information in the following table:

| Year | Shipment identified | | Source identified | | Quantity of firearms seized | Shipping routes identified |
|-------|---------------------|----|-------------------|----|-----------------------------|----------------------------|
| | Yes | No | Yes | No | | |
| 2000 | | | | | | |
| 2001 | | | | | | |
| 2002 | | | | | | |
| Total | | | | | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Firearms and ammunition** mean those products defined as such in Article 1 of the Inter-American Convention for the Control of the Manufacture and Illicit Trafficking of Firearms, Ammunition, Explosives and other Related Materials.

(2) **International agreements** include, among others, Memoranda of Understanding, Mutual Legal Assistance Treaties, and others including cooperation agreements, whether bilateral or multilateral.

(3) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, given the concern for confidentiality.

(4) For the **years** referred to in the table, numbers of replies and requests made may not necessarily coincide owing to backlogs in the processing of requests. This could yield figures indicating more replies during a year than requests made because the replies in question could include those made to requests made in prior years.

(5) **Route** refers to the movement of the firearms or ammunition from the point of export, import and in-transit, when applicable. Indicate the name of the corresponding port of export, import and in transit (for example, Hamburg / London / Vigo).

(6) **Source** refers to the locale of production or assembly and not to the port of export.

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Number of requests received to obtain information in relation to shipments of firearms and ammunition, taking into account international agreements

CONTROL MEASURES

PURPOSE OF INDICATOR:

PREVENTION OF DIVERSION OF FIREARMS AND AMMUNITION

- A. Indicate the number of requests for information concerning shipments of firearms and ammunition ⁽¹⁾ **received by your country from other states** in accordance with international agreements ⁽²⁾ and number of replies providing the information requested.

| Country requesting information ⁽³⁾ | Number of requests | | | Number of replies providing the information requested | | |
|---|---------------------|---------------------|---------------------|---|------|------|
| | 2000 ⁽⁴⁾ | 2001 ⁽⁴⁾ | 2002 ⁽⁴⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. In cases where the request **was not granted**, please indicate the reason.

| Year | Country requesting ⁽³⁾ information | Reasons for not granting ⁽⁵⁾ | | | |
|--------------|---|---|--------------------------|--------------------------------------|-------|
| | | Error in form of the request | Insufficient legal basis | Lack of records in requested country | Other |
| 2000 | | | | | |
| 2001 | | | | | |
| 2002 | | | | | |
| TOTAL | | | | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Firearms and ammunition** mean those products defined as such in Article 1 of the Inter- American Convention for the Control of the Manufacture and Illicit Trafficking of Firearms, Ammunition, Explosives and other Related Materials.

(2) **International agreements** include, among others, Memoranda of Understanding, Mutual Legal Assistance Treaties, and others including cooperation agreements, whether bilateral or multilateral.

(3) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, given the concern for confidentiality.

(4) Under the years indicated in the table, the number of replies and requests does not necessarily have to match the number of replies. There may be more replies in a given year than requests, if they have accumulated from previous years.

(5) Indicate the amount of times in each category.

[date]

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Scope of national laws that criminalize money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO ESTABLISH EFFECTIVE PENAL REGULATIONS TO REPRESS MONEY LAUNDERING

A. Existence of national laws that **criminalize** money laundering ⁽¹⁾

| Title and article of the law criminalizing this offense | Penalty ⁽²⁾ |
|---|------------------------|
| | |

B. Please provide information in the table below:

| Predicate offense ⁽³⁾ | Yes | No |
|----------------------------------|-----|----|
| 1. Illicit drug trafficking | | |
| 2. Traffic of firearms | | |
| 3. Traffic of human beings | | |
| 4. Organ trafficking | | |
| 5. Prostitution | | |
| 6. Pornography | | |
| 7. Kidnapping | | |
| 8. Extortion | | |
| 9. Corruption | | |
| 10. Terrorism | | |
| 11. Fraud | | |
| 12. Other | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Money laundering** refers to the offense described in Article 2 of the CICAD/OAS Model Regulations Concerning Laundering Offenses Connected to Illicit Drug Trafficking and other serious Offenses, amended in 1999.

(2) **Penalty** refers to the number of years imposed for money laundering offenses. Please indicate whether or not there are provisions for additional sanctions, such as a fine equivalent to the amount laundered or the permanent deprivation of the property.

(3) **Predicate offenses** are those that produce the assets laundered and are defined as “serious offenses” in Article 1 of the CICAD/OAS Model Regulations Concerning Laundering Offenses Connected to Illicit Drug Trafficking and other serious Offenses. Although not exhaustive, the list of such offenses includes illicit drug trafficking, illicit traffic of firearms, illicit traffic of human beings, human organ trafficking, prostitution, pornography, kidnapping, extortion, corruption, terrorism and fraud.

64

Scope of national laws that establish administrative controls to prevent money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO ESTABLISH EFFECTIVE CONTROL REGULATIONS TO REPRESS MONEY LAUNDERING

A. Please indicate which activities have administrative controls ⁽¹⁾ to prevent money laundering

| | Regulated Sector | Yes | No | Title and articles of the law |
|-----|--|------------|-----------|--------------------------------------|
| 1. | Banks ⁽²⁾ | | | |
| 2. | Offshore banks ⁽³⁾ | | | |
| 3. | Currency exchanges | | | |
| 4. | Stock exchange | | | |
| 5. | Insurance | | | |
| 6. | Casinos | | | |
| 7. | Real estate | | | |
| 8. | Lawyers | | | |
| 9. | Notaries | | | |
| 10. | Accountants | | | |
| 11. | Cross border movements of currency & negotiable bearer instruments | | | |
| 12. | Other | | | |

B. Please indicate the sanctions applicable under question A⁽⁴⁾.

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Administrative controls** refer to laws, decrees, or other administrative measures issued by a regulatory agency, regulating each of the sectors indicated.

(2) **Banks** are financial intermediation institutions, including, in this case, savings and loans associations, and other such institutions.

(3) **Offshore banks** are exempt from many controls imposed on "local" or "national" banks, since they are juridical persons of other countries, under the special system of the country in which they are located.

(4) **Sanctions** refer to fines, suspension of licenses, etc.

65

Number of persons arrested/charged/ tried and convicted for money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO ASSESS THE EFFECTIVENESS OF THE POLICE AND JUDICIAL SYSTEM FOR CASES OF MONEY LAUNDERING

Civil Law countries answer questions A, B and C. Common Law countries proceed to question D:

- A. During the past three years, how many persons **were arrested** in your country for money laundering ⁽¹⁾?

| Money Laundering | | |
|----------------------------|------|------|
| Number of persons arrested | | |
| 2000 | 2001 | 2002 |
| | | |

- B. During the past three years, how many persons **were tried** for money laundering, relative to the number of persons arrested on a percentage basis?

| Money Laundering | | | | | |
|-------------------------|------|------|---|------|------|
| Number of persons tried | | | % relative to number of persons arrested ⁽²⁾ | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

- C. During the past three years, how many persons **were convicted** of money laundering relative to the number of persons tried on a percentage basis?

| Money Laundering | | | | | |
|-----------------------------|------|------|--|------|------|
| Number of persons convicted | | | % relative to number of persons tried ⁽³⁾ | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

Common Law countries answer questions D and E:

D. During the past three years, how many persons **were charged** in your country for money laundering?

| Money Laundering | | |
|---------------------------|------|------|
| Number of persons charged | | |
| 2000 | 2001 | 2002 |
| | | |

E. During the past three years, how many persons **were convicted** of money laundering relative to the number of persons charged on a percentage basis?

| Money Laundering | | | | | |
|-----------------------------|------|------|--|------|------|
| Number of persons convicted | | | % relative to number of persons charged ⁽⁴⁾ | | |
| 2000 | 2001 | 2002 | 2000 | 2001 | 2002 |
| | | | | | |

F. Observations:

| |
|--|
| |
|--|

G. Agency providing information:

| |
|--|
| |
|--|

H. Official providing information:

| |
|--|
| |
|--|

DEFINITIONS AND EXPLANATIONS:

- (1) **Money laundering** refers to the offense described in Article 2 of the CICAD/OAS Model Regulations Concerning Laundering Offenses Connected to Illicit Drug Trafficking and other serious Offenses, as amended in 1999.
- (2) **Percentage relative to the number of persons arrested:** To calculate this percentage, use the number of persons arrested provided in question (A).
- (3) **Percentage relative to the number of persons tried:** To calculate this percentage, use the number of persons tried provided in question (B).
- (4) **Percentage relative to the number of persons charged:** To calculate this percentage, use the number of persons charged provided in question (D).

In this indicator the terms "common law" and "civil law" respectively, are employed to describe in general terms, the legal systems of the English-speaking countries of the Americas on the one hand and those of the Spanish, Portuguese, French and Dutch-speaking countries of the hemisphere on the other. Generally the legal tradition of the English-speaking countries flows from the laws of England based originally on the common customs of the country, while the legal traditions of the other countries of the hemisphere derive from Roman law overlaid by Napoleonic and German legal influences.

66

Scope of national laws and regulations requiring financial institutions and others responsible to report suspicious or unusual transactions to the competent authorities and to comply with other control measures

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO ESTABLISH EFFECTIVE ADMINISTRATIVE CONTROLS TO REPRESS MONEY LAUNDERING

A. In your country, is it mandatory for financial institutions and others responsible to report suspicious ⁽¹⁾ or unusual transactions to the competent authorities?

Y N

B. In your country, is it mandatory for financial institutions and others responsible to comply with or have in place the following control measures ⁽²⁾ ?

| Control measures | | Yes | No |
|------------------|---|-----|----|
| 1. | Reporting large transactions ⁽³⁾ | | |
| 2. | Client registry | | |
| 3. | Verification of client identity | | |
| 4. | Transaction registry | | |
| 5. | Preservation of records | | |
| 6. | Existence of an enforcement official | | |
| 7. | Existence of independent audits | | |
| 8. | Know-your-client policies | | |
| 9. | Know-your-employee policies | | |
| 10. | Other | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Suspicious transactions** are transactions, whether completed or not, that are complex, unusual, high value or that do not follow a regular pattern or small, but periodic transactions that have no apparent economic or lawful purpose.

(2) **Control measures** are measures to prevent money laundering in the financial system emanating from several international instruments. The proposed examples are from the CICAD Model Regulations and the 40 recommendations of the Financial Action Task Force (FATF).

(3) **Large transactions** as defined by domestic law.

67

Number of suspicious transactions reports and their outcome

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF THE REPORTING SYSTEM FOR SUSPICIOUS TRANSACTIONS FOR CASES OF MONEY LAUNDERING

A. How many suspicious transactions⁽¹⁾ were reported to the competent authorities?

| | Year | Number of suspicious transactions reported |
|----|------|--|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

B. Based on the number of reports indicated above, how many investigations were conducted?

| | Year | Number of investigations conducted |
|----|------|------------------------------------|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

C. Based on the investigations conducted, how many criminal charges were brought?

| | Year | Number of criminal charges brought |
|----|------|------------------------------------|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

D. Of the criminal charges referred to in question C, how many resulted in convictions?

| | Year | Number of convictions |
|----|------|-----------------------|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

E. Of the criminal charges referred to in question C, what was the value of assets forfeited ⁽²⁾?

| | Year | Value ⁽³⁾ of assets forfeited |
|----|------|--|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

F. If the aforementioned questions could not be answered due to the nature of the office which receives the data,

1. Is there a system that tracks suspicious transaction reports and their outcome?

Y N

2. Is there a method to evaluate the effectiveness of the system on suspicious transactions reporting?

Y N

3. If yes, how do you evaluate the effectiveness?

G. Observations:

H. Agency providing information:

I. Official providing information:

DEFINITIONS / EXPLANATIONS:

- (1) **Suspicious transactions** are transactions, whether completed or not, that are complex, unusual, high value or that do not follow a regular pattern or small, but periodic transactions that have no apparent economic or lawful purpose.
- (2) **Forfeiture** – following the language from the Vienna Convention: “Confiscation”, which includes forfeiture where applicable, means the permanent deprivation of property by order of a court or other competent authority.
- (3) Please indicate the **value** in national currency.

68

Number of sanctions imposed on financial institutions and others responsible for failure to report suspicious transactions or other money laundering control measures

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE EFFECTIVENESS OF THE ADMINISTRATIVE AND JUDICIAL SYSTEM FOR CASES OF MONEY LAUNDERING

A. How many sanctions were imposed on financial institutions and others responsible ⁽¹⁾ **for failure to report suspicious transactions**⁽²⁾?

| Year | Number of sanctions applied | Administrative ⁽³⁾ | | Judicial ⁽⁴⁾ | |
|---------|-----------------------------|-------------------------------|--------------------------|--------------------------|--------------------------|
| | | Minimum Sanction Applied | Maximum Sanction Applied | Minimum Sanction Applied | Maximum Sanction Applied |
| 1. 2000 | | | | | |
| 2. 2001 | | | | | |
| 3. 2002 | | | | | |

B. How many sanctions were imposed on financial institutions and others responsible for **failure to comply with money laundering control measures** (other than for failure to report suspicious transactions)?

| Year | Number of sanctions applied | Administrative | | Judicial | |
|---------|-----------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| | | Minimum Sanction Applied | Maximum Sanction Applied | Minimum Sanction Applied | Maximum Sanction Applied |
| 1. 2000 | | | | | |
| 2. 2001 | | | | | |
| 3. 2002 | | | | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

- (1) **Others responsible** are companies or enterprises subject to money laundering prevention controls. According to the CICAD Model Regulations, this includes offshore banks, currency exchanges, stock exchanges, insurance companies, casinos, real estate companies, notaries, accountants, etc.
- (2) **Suspicious transactions** are transactions, whether completed or not, that are complex, unusual, large or that do not follow a regular pattern as well as those small, but periodic transactions that have no apparent economic or lawful purpose.
- (3) **Administrative sanctions** are those imposed by regulatory agencies in the financial system and the sectors in which money laundering is controlled, including the Superintendency of banks, securities, and insurance; the central bank; the Financial Analysis Unit; etc., in accordance with domestic law.
- (4) **Judicial sanctions** are those imposed by a court.

69

Option of lifting bank secrecy⁽¹⁾

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO FACILITATE THE CONTROL AND SANCTIONING OF MONEY LAUNDERING OFFENSES

A. In your country, can bank documents and/or financial records be provided in money laundering cases?

Y N

B. If the answer is yes, please indicate the number of money laundering cases in which bank documents and/or financial records were provided:

| | Year | Number of money laundering cases | Number of requests for bank or other financial institution documents | Number of cases in which bank documents and/or financial records were provided |
|----|------|----------------------------------|--|--|
| 1. | 2000 | | | |
| 2. | 2001 | | | |
| 3. | 2002 | | | |

C. In cases in which bank documents and/or financial records were not provided, please indicate why⁽²⁾.

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Bank Secrecy** is, in accordance with national law, the confidentiality imposed to the financial institutions on their client's data.

(2) Justification could include such things as existing legal barriers, lack of sufficient evidence, etc.

70

Value of property forfeited in cases related to money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF THE CONFISCATION SYSTEM FOR CASES OF MONEY LAUNDERING

A. What is the total value ⁽¹⁾ of property forfeited ⁽²⁾ in money laundering cases?

| Year | Value of property forfeited |
|---------|-----------------------------|
| 1. 2000 | |
| 2. 2001 | |
| 3. 2002 | |

B. What was the ultimate disposition ⁽³⁾ of this property or the proceeds from its sale?

| Year | Disposition of property forfeited |
|---------|-----------------------------------|
| 1. 2000 | |
| 2. 2001 | |
| 3. 2002 | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) Please indicate the **value** in national currency.

(2) **Forfeiture** – following the language from the Vienna Convention: “Confiscation”, which includes forfeiture where applicable, means the permanent deprivation of property by order of a court or other competent authority.

(3) **Disposition** of property refers to the institutions that benefited from its use or from the proceeds of its sale. Such institutions are charities, Financial Intelligence Units (FIU’s) or similar, demand reduction programs, judicial authorities, general accounts.

71

Operation of an entity/ entities for the management and/or disposition of assets seized and forfeited from illicit drug trafficking and money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF THE CONFISCATION SYSTEM FOR CASES OF MONEY LAUNDERING

A. 1. In your country, is there an entity/entities for the management and/or disposition of assets ⁽¹⁾ seized ⁽²⁾ and forfeited ⁽³⁾ for **illicit drug trafficking** and **money laundering** offenses?

- | | | | |
|----|--------------------------|--------------------------|--|
| | Y | N | |
| a. | <input type="checkbox"/> | <input type="checkbox"/> | One entity for illicit drug trafficking |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | One entity for money laundering offenses |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | One entity for both |

2. If the answer is yes, please specify:

| Name | Does it have its own budget? | |
|------|------------------------------|----|
| | Yes | No |
| | | |

3. Indicate if the entity/entities have manuals for the internal management of assets seized

- | | |
|--------------------------|--------------------------|
| Y | N |
| <input type="checkbox"/> | <input type="checkbox"/> |

4. If it is under the authority of a state agency ⁽⁴⁾, please indicate which one.

5. Indicate the value ⁽⁵⁾ of the property managed in the period indicated.

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Assets** refer to proceeds of illicit drug trafficking and money laundering and can include movable property, real estate, cash, securities, etc.

(2) **Seizure** means temporarily prohibiting the transfer, conversion, disposition or movement of property or temporarily assuming custody or control of property .

(3) **Forfeiture** - following the language from the Vienna Convention: "Confiscation", which includes forfeiture where applicable, means the permanent deprivation of property by order of a court or other competent authority.

(4) **Other state agency** can be a ministry, the office of the attorney general, the judiciary, the Superintendency of banks, etc.

(5) Please indicate the **value** in national currency.

72

Existence and operation of a Financial Intelligence/Analysis/Investigation Unit that receives, requests, analyzes, and reports to the competent authorities information on transactions that may constitute money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF THE SYSTEM ON PREVENTION AND CONTROL OF MONEY LAUNDERING

- A. 1. In your country, is there a Financial Intelligence/Analysis/Investigation Unit ⁽¹⁾ that receives, requests, analyzes, and reports to the competent authorities information on transactions that may constitute money laundering?

Y N

If the answer is no, please go to indicator 75.

2. If the answer is yes, please specify:

| Name | Number of officials | Does it have its own budget? | |
|------|---------------------|------------------------------|----|
| | | Yes | No |
| | | | |

3. Please indicate if the Unit is autonomous⁽²⁾.

4. If it is under the authority of another state agency ⁽³⁾, please indicate which one.

5. Please indicate the functions of the Unit.

- | | Y | N | |
|----|--------------------------------|--------------------------|--|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | Conducts analysis and reports findings |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | Investigates |
| c. | <input type="checkbox"/> | <input type="checkbox"/> | Regulates |
| d. | <input type="checkbox"/> | <input type="checkbox"/> | Sanctions |
| e. | <input type="checkbox"/> Other | | <input type="text"/> |

6. Please indicate the agencies with which it shares information.

- | | Y | N | |
|----|--------------------------|--------------------------|--------------------------|
| a. | <input type="checkbox"/> | <input type="checkbox"/> | Other state agencies |
| b. | <input type="checkbox"/> | <input type="checkbox"/> | Its foreign counterparts |

B. Observations:

C. Agency providing information:

D. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **A Financial Intelligence/Analysis/Investigation Unit (FIU/FAU/FIU)** may assume one of the following models, as determined by the Egmont Group, depending on where the agency is situated in the governmental structure of a country:

(a) a police model; (b) a judicial model; (c) a mixed police/judicial model; or (d) an administrative model.

(2) **Autonomy** means that FIUs decisions are primarily of a technical nature.

(3) **Other state agency** can be a ministry, the Office of the Attorney General, the judiciary, the Superintendency of Banks, etc.

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Implementation and operating level of the Financial Intelligence/Analysis/Investigation Unit that receives, requests, analyzes, and reports to the competent authorities information on transactions that may constitute money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF THE SYSTEM ON PREVENTION AND CONTROL OF MONEY LAUNDERING

A. Number of financial disclosures/reports/cases analyzed/investigated by the Unit

| Year | Number of financial disclosures/reports/cases analyzed/investigated |
|---------|---|
| 1. 2000 | |
| 2. 2001 | |
| 3. 2002 | |

B. For Financial Intelligence Units that conduct analysis and investigate:

1. Based on the analysis/investigations conducted, how many criminal charges were brought?

| Year | Number of charges brought |
|---------|---------------------------|
| a. 2000 | |
| b. 2001 | |
| c. 2002 | |

2. In the above mentioned penal cases, how many persons were convicted?

| Year | Number of persons convicted |
|---------|-----------------------------|
| a. 2000 | |
| b. 2001 | |
| c. 2002 | |

3. In the penal cases mentioned in questions b, were any assets forfeited ⁽¹⁾?

| | Year | Value ⁽²⁾ of assets forfeited |
|----|------|--|
| a. | 2000 | |
| b. | 2001 | |
| c. | 2002 | |

C. For Financial Intelligence Units that solely analyze and report findings:

1. Is there a system that tracks the results of these reports?

Y N

2. Is there a method to evaluate the effectiveness of analysis on financial disclosures/reports/cases?

Y N

3. Is yes, how do you evaluate the effectiveness?

D. Observations:

E. Agency providing information:

F. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Forfeiture** - following the language from the Vienna Convention: "Confiscation", which includes forfeiture where applicable, means the permanent deprivation of property by order of a court or other competent authority.

(2) Please indicate the **value** in national currency.

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Implementation and operating level of the Financial Intelligence/Analysis/Investigation Unit at the international level

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF THE PREVENTION AND CONTROL SYSTEM OF MONEY LAUNDERING

- A. Please indicate if the Financial Intelligence Unit ⁽¹⁾ is affiliated or associated with an international organization.

- B. Please list the countries with which your Financial Intelligence Unit has signed Memoranda of Understanding (MOUs) allowing for the exchange of information with its counterparts in other countries:

| Name of country |
|-----------------|
| |

- C. Observations:

- D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

⁽¹⁾ **A Financial Intelligence/Analysis/Investigation Unit (FIU/FAU/FIU)** may assume one of the following models depending on where the agency is situated in the governmental structure of a country: (a) a police model; (b) a judicial model; (c) a mixed police/judicial model; or (d) an administrative model.

[date]

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The number of extradition requests for money laundering made to other States and the number of replies received, in accordance with international agreements

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF INTERNATIONAL COOPERATION TO PREVENT MONEY LAUNDERING

- A. Indicate the number of requests for extradition in money laundering cases **made by your country to other states**, in accordance with international agreements ⁽¹⁾ and the number of replies granting the request.

| Country to which the extradition requests were made ⁽²⁾ | Number of requests | | | Number of replies granting the request | | |
|--|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽³⁾ | 2001 ⁽³⁾ | 2002 ⁽³⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. Observations:

- C. Agency providing information:

- D. Official providing information:

DEFINITIONS / EXPLANATIONS:

- (1) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.
- (2) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, due to confidentiality.
- (3) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies. There may be more replies in a given year than request, if they have accumulated from previous years.

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The number of extradition requests received by your country for money laundering, in accordance with international agreements

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF INTERNATIONAL COOPERATION TO PREVENT MONEY LAUNDERING

- A. Indicate the number of requests for extradition in money laundering cases **received by your country from other states**, in accordance with international agreements ⁽¹⁾, and the number of replies granting the request.

| Country requesting extradition ⁽²⁾ | Number of requests | | | Number of replies granting the request | | |
|---|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽³⁾ | 2001 ⁽³⁾ | 2002 ⁽³⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. In cases where the request **was not granted**, please indicate reason.

| Year | Country requesting extradition ⁽²⁾ | Reasons for not granting ⁽⁴⁾ | | |
|--------------|---|---|--------------------------|-------|
| | | Error in form of the request | Insufficient legal basis | Other |
| 2000 | | | | |
| 2001 | | | | |
| 2002 | | | | |
| TOTAL | | | | |

C. Observations⁽⁵⁾:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.

(2) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, due to confidentiality.

(3) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies. There may be more replies in a given year than requests, if they have accumulated from previous years.

(4) Provide the number of instances for each category.

(5) Under observations, other forms of informal cooperation among countries may be noted which lead to extradition.

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The number of requests made to other States to freeze assets in money laundering cases and the number of replies received, in accordance with international agreements

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF INTERNATIONAL COOPERATION TO PREVENT MONEY LAUNDERING

- A. Indicate the number of requests to freeze⁽¹⁾ assets in money laundering cases **made by your country to other states**, in accordance with international agreements⁽²⁾, and the number replies granting the request.

| Country asked to freeze assets ⁽³⁾ | Number of requests | | | Number of replies granting the request | | |
|---|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽⁴⁾ | 2001 ⁽⁴⁾ | 2002 ⁽⁴⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. Observations:

- C. Agency providing information:

- D. Official providing information:

DEFINITIONS / EXPLANATIONS:

- (1) **Freezing** means temporarily prohibiting the transfer, conversion, disposition or movement of property or temporarily assuming custody or control of property on the basis of an order issued by a court or other competent authority. This concept includes the freezing of bank accounts.
- (2) **International agreements** include memoranda of understanding (MOU's), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.
- (3) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, due to confidentiality.
- (4) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies. There may be more replies in a given year than requests, if they have accumulated from previous years.

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The number of requests received to freeze assets in money laundering cases, in accordance with international agreements

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF INTERNATIONAL COOPERATION TO PREVENT MONEY LAUNDERING

- A. Indicate the number of requests to freeze⁽¹⁾ assets in money laundering cases **received by your country from other states**, in accordance with international agreements ⁽²⁾, and the number of replies granting the request.

| Country that requested the freezing of assets ⁽³⁾ | Number of requests | | | Number of replies granting the request | | |
|--|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽⁴⁾ | 2001 ⁽⁴⁾ | 2002 ⁽⁴⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. In cases where the request **was not granted**, please indicate reason.

| Year | Requesting country ⁽³⁾ | Reasons for not granting ⁽⁵⁾ | | |
|--------------|-----------------------------------|---|--------------------------|-------|
| | | Error in form of the request | Insufficient legal basis | Other |
| 2000 | | | | |
| 2001 | | | | |
| 2002 | | | | |
| TOTAL | | | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Freezing** means temporarily prohibiting the transfer, conversion, disposition or movement of property or temporarily assuming custody or control of property on the basis of an order issued by a court or other competent authority. This concept includes the freezing of bank accounts.

(2) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.

(3) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, due to confidentiality.

(4) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies. There may be more replies in a given year than requests, if they have accumulated from previous years.

(5) Provide the number of instances for each category.

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The number of requests made to other States to lift bank secrecy⁽¹⁾ in money laundering cases and the number of replies received, in accordance with international agreements

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF INTERNATIONAL COOPERATION TO PREVENT MONEY LAUNDERING

- A. Indicate the number of requests for bank documents and/or financial records for use in money laundering cases **made by your country to other states**, in accordance with international agreements⁽²⁾, and the number of replies providing the information requested.

| Country from which documentation was requested ⁽³⁾ | Number of requests | | | Number of replies providing the information requested | | |
|---|---------------------|---------------------|---------------------|---|------|------|
| | 2000 ⁽⁴⁾ | 2001 ⁽⁴⁾ | 2002 ⁽⁴⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. Observations:

- C. Agency providing information:

D. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Bank Secrecy** is, in accordance with national law, confidentiality imposed on the financial institutions regarding their client's data.

(2) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.

(3) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, due to confidentiality.

(4) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies. There may be more replies in a given year than request, if they have accumulated from previous years.

80

The number of requests received to lift bank secrecy⁽¹⁾ in money laundering cases, in accordance with international agreements

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE EFFECTIVENESS OF INTERNATIONAL COOPERATION TO PREVENT MONEY LAUNDERING

- A. Indicate the number of requests to obtain bank documents and financial records to be used in money laundering cases, **received by your country from other countries**, in accordance with international agreements ⁽²⁾, and the number of replies granting the request.

| Country requesting that bank documents be provided ⁽³⁾ | Number of requests | | | Number of replies granting the request | | |
|---|---------------------|---------------------|---------------------|--|------|------|
| | 2000 ⁽⁴⁾ | 2001 ⁽⁴⁾ | 2002 ⁽⁴⁾ | 2000 | 2001 | 2002 |
| | | | | | | |

- B. In cases where the request **was not granted**, please indicate reason.

| Year | Requesting country ⁽³⁾ | Reasons for not granting ⁽⁵⁾ | | |
|--------------|-----------------------------------|---|--------------------------|-------|
| | | Error in form of the request | Insufficient legal basis | Other |
| 2000 | | | | |
| 2001 | | | | |
| 2002 | | | | |
| TOTAL | | | | |

C. Observations:

D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Bank Secrecy** is, in accordance with national law, confidentiality imposed on financial institutions regarding their client's data.

(2) **International agreements** include memoranda of understanding (MOUs), mutual legal assistance treaties, and other bilateral or multilateral cooperation agreements.

(3) The countries will be listed if permitted by the treaties under which the country responding to the questionnaire is a party or if permitted by its domestic law, due to confidentiality.

(4) **Under the years indicated** in the table, the number of requests does not necessarily have to match the number of replies. There may be more replies in a given year than requests, if they have accumulated from previous years.

(5) Provide number of times for each category.

81

Number of judges and prosecutors trained to enforce criminal laws to repress money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE QUALITY OF TRAINING FOR JUDGES AND PROSECUTORS TO ADMINISTER MONEY LAUNDERING CASES

- A. Please indicate the number of judges and prosecutors who received specialized training ⁽¹⁾ during the review period to administer money laundering cases.

| | Year | Judges | Prosecutors |
|----|------|--------|-------------|
| 1. | 2000 | | |
| 2. | 2001 | | |
| 3. | 2002 | | |

- B. Observations:

- C. Agency providing information:

- D. Official providing information:

DEFINITIONS / EXPLANATIONS:

⁽¹⁾ **Training** refers to courses, seminars, workshops, and university degrees specifically on the offense and particular features of money laundering.

82

Number of administrative officials trained to enforce laws and regulations to control and repress money laundering

MONEY LAUNDERING

PURPOSE OF INDICATOR:

TO DETERMINE THE QUALITY OF TRAINING FOR ADMINISTRATIVE OFFICIALS TO CONTROL MONEY LAUNDERING

- A. Please indicate the number of officials from Financial Intelligence Units or other administrative regulators trained⁽¹⁾ in money laundering during the review period.

| | Year | Number of administrative officials ⁽²⁾ trained |
|----|------|---|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

- B. Of those, how many continue to perform the same functions?

| | Year | Number of administrative officials trained who continue to perform the same functions |
|----|------|---|
| 1. | 2000 | |
| 2. | 2001 | |
| 3. | 2002 | |

- C. Observations:

- D. Agency providing information:

E. Official providing information:

DEFINITIONS / EXPLANATIONS:

(1) **Training** refers to courses, seminars, workshops, and university degrees specifically on the offense and particular features of money laundering.

(2) **Administrative officials** are those persons responsible for the supervision of administrative measures to control money laundering in the financial, securities, real estate, and business sectors, etc. Based on the legal system of each country, they may work for the Superintendency of Banks, Securities, and Insurance or Financial Intelligence/Analysis/Investigation Units.

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DISPLACEMENT

PURPOSE OF INDICATOR:

TO DETERMINE NEW TRENDS IN THE GLOBAL PHENOMENON OF THE MOBILITY OF THE DIFFERENT MANIFESTATIONS OF THE DRUG PROBLEM ⁽¹⁾

A. Have you seen and/or identified new trends in:

- | | Y | N | |
|----|--------------------------|--------------------------|-------------------------------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Trafficking/routes |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Drug abuse |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Illicit crop cultivation |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Illicit laboratories |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Pharmaceutical products seized |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Chemical substances seized |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Illicit drugs seized |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Firearms and ammunition confiscated |
| 9. | <input type="checkbox"/> | <input type="checkbox"/> | Money laundering |

B. Observations/explanations:

1. Trafficking/routes:

2. Drug abuse:

3. Illicit crop cultivation:

4. Illicit laboratories:

5. Pharmaceutical products seized:

6. Chemical substances seized:

7. Illicit drugs seized:

8. Firearms and ammunition confiscated:

9. Money laundering:

C. Have you identified the causes and/or factors that have facilitated these new trends?

| | Y | N | |
|----|--------------------------|--------------------------|-------------------------------------|
| 1. | <input type="checkbox"/> | <input type="checkbox"/> | Trafficking/routes |
| 2. | <input type="checkbox"/> | <input type="checkbox"/> | Drug abuse |
| 3. | <input type="checkbox"/> | <input type="checkbox"/> | Illicit crop cultivation |
| 4. | <input type="checkbox"/> | <input type="checkbox"/> | Illicit laboratories |
| 5. | <input type="checkbox"/> | <input type="checkbox"/> | Pharmaceutical products seized |
| 6. | <input type="checkbox"/> | <input type="checkbox"/> | Chemical substances seized |
| 7. | <input type="checkbox"/> | <input type="checkbox"/> | Illicit drugs seized |
| 8. | <input type="checkbox"/> | <input type="checkbox"/> | Firearms and ammunition confiscated |
| 9. | <input type="checkbox"/> | <input type="checkbox"/> | Money laundering |

D. Observations/ explanations:

1. Trafficking/routes:

2. Drug abuse:

3. Illicit crop cultivation:

4. Illicit laboratories:

5. Pharmaceutical products seized:

6. Chemical substances seized:

7. Illicit drugs seized:

8. Firearms and ammunition confiscated:

9. Money laundering:

E. Have you identified other new trends?

Y **N**

F. Explain:

G. Observations:

H. Agency providing information:

I. Official providing information:

DEFINITIONS AND EXPLANATIONS:

⁽¹⁾ Definition of displacement agreed upon in the First Meeting of the CICAD Group of Coordinators on Displacement, held in Miami, Florida, on February 14-16, 2001.