



**INTER-AMERICAN DRUG ABUSE CONTROL
COMMISSION
(CICAD)**

**MULTILATERAL
EVALUATION
MECHANISM**

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**Indicator Questionnaire
Fifth Evaluation Round
2007 – 2009**

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1

NATIONAL ANTI-DRUG PLAN/STRATEGY

NATIONAL ANTI-DRUG STRATEGY

PURPOSE OF
INDICATOR

To determine the existence of a National Anti-Drug Plan or Strategy, with its respective budget, to serve as the framework to guide all anti-drug activities

PART I - COVERAGE

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

- a. In force (indicate time period it is in force):
- b. Drafted but pending approval
- c. Being drafted
- d. Expired (indicate the date the previous plan expired):
- e. In force by extension of previous plan (Indicate initial period and extension):
- f. Does not exist

2. Indicate the areas⁽²⁾ that the national anti-drug strategy/plan covers, and the primary objectives in each area:

3. What are the strategic priorities and/or goals for the time period the national anti-drug strategy/plan is in effect?

--

- B. 1. Which national entities are involved in drafting the national anti-drug plan/strategy?

--

2. Which national entities are involved in executing the national anti-drug plan/strategy?

--

3. Please indicate if regional, provincial, and municipal/local authorities have jurisdiction in areas related to anti-drug policy (health, education, etc.)

Y

N

4. If your country carries out decentralization policies, please provide the following information:

- a. How many state and/or regional governments execute anti-drug plans⁽³⁾?

Total number of states or regions in the country:	
Number of anti-drug plans at this level:	
Total number of inhabitants benefited:	

- b. How many departmental and/or provincial governments execute anti-drug plans⁽³⁾?

Total number of departments or provinces in the country:	
Number of anti-drug plans at this level:	
Total number of inhabitants benefited:	

c. How many municipal and/or local governments execute anti-drug plans⁽³⁾?

Total number of municipalities or localities in the country:	
Number of anti-drug plans at this level	
Total number of inhabitants benefited:	

PART II: BUDGET

C. 1. Is there a budget for financing the national anti-drug plan/strategy⁽⁴⁾?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
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2. If the answer is “no”, please explain how the activities of the national anti-drug strategy are financed.

--

D. Please indicate, in the following table, the approximate annual total amount of the national anti-drug plan/strategy budget.

2006 (US\$)	2007 (US\$)	2008 (US\$)	2009 (US\$)

PART III – MONITORING AND EVALUATION SYSTEM

E. 1. Please indicate if the national anti-drug plan/strategy includes a monitoring and evaluation system ⁽⁵⁾.

Y N

<input type="checkbox"/>	<input type="checkbox"/>
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2. If so, please indicate which institution is responsible for administering it:

F. Observations:

G. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **National anti-drug plan/ strategy** refers to the instrument that summarizes national policies, defines priorities, and 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. This is in keeping with the 1998 Anti-Drug Strategy in the Hemisphere and the decisions adopted at the Presidential Summit of the Americas in Santiago, Chile that same year. It also identifies the economic resources needed for its implementation and control system; as well as follow up and evaluation of institutional efforts.

⁽²⁾ **Areas** refers to the topics or aspects that comprise the national anti-drug strategy or plan, including demand reduction, supply reduction, alternative integral and sustainable development programs, control measures, national drug information and research systems (national drug observatory), money laundering, international cooperation, evaluation programs, and others (specify).

⁽³⁾ **Central, regional, departmental, provincial, municipal/local anti-drug plans** are programs and projects implemented by governments at these levels on prevention, treatment, rehabilitation, reintegration and epidemiological research, through the corresponding public coordination or similar entities, in which civil society and local public agencies are represented.

⁽⁴⁾ **Budget for financing the national anti-drug plan/strategy** is the total actual budget and other technical assistance, technological, and logistical resources, allocated by public and private institutions at the central, regional (provincial, state, departmental) and municipal levels, as well as in the form of international cooperation, to carry out activities under the national drug plan.

⁽⁵⁾ The term **program monitoring and evaluation system** refers to the mechanisms established to monitor and evaluate all programs set forth in the national anti-drug plan/strategy and their results.

2

NATIONAL ANTI-DRUG AUTHORITY

NATIONAL ANTI-DRUG STRATEGY

PURPOSE OF INDICATOR

To determine the existence of a national authority located at a higher political level for the coordination of all the activities of the National Anti-drug System and its budget.

PART I

- A. 1. Does your country have a national anti-drug authority⁽¹⁾ (Commission or National Council)?

Y

N

2. If the answer is yes, please provide the following information:

- a. Name of the national authority

- b. Year established

- c. Position within the State's administrative structure (attach the organizational chart, if possible)

d. Agencies that comprise the governing level of the national authority

3. If your country has a national authority, please indicate which areas it coordinates⁽²⁾:

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Demand Reduction
b.	<input type="checkbox"/>	<input type="checkbox"/>	Supply Reduction
c.	<input type="checkbox"/>	<input type="checkbox"/>	Alternative, Integral and Sustainable Development Programs
d.	<input type="checkbox"/>	<input type="checkbox"/>	Control Measures
e.	<input type="checkbox"/>	<input type="checkbox"/>	Drug Observatory
f.	<input type="checkbox"/>	<input type="checkbox"/>	International Cooperation
g.	<input type="checkbox"/>	<input type="checkbox"/>	Program Evaluation
h.	<input type="checkbox"/>	<input type="checkbox"/>	Others (specify)

4. If your country does not have a national authority, please indicate how existing anti-drug activities are coordinated.

B. Does the national authority have a legal basis?

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

- C. 1. Does the national authority have a central technical office⁽³⁾ (e.g., executive secretariat) to carry out its mandates?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
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2. If the answer is “yes”, please provide the following information:

a. Name of the central technical office

--

b. Year established

--

c. Position within the State’s administrative structure (attach the organizational chart, if possible)

--

d. Agencies that comprise the governing level of the national authority (in cases where the authority is composed of more than one institution)

--

PART II: BUDGET

- D. 1. Is there an annual budget⁽⁴⁾ for the national authority?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
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2. If the answer is “no”, please explain how the activities of the national authority are financed.

--

E. 1. Please indicate if the national authority's budget is integrated with the budget of another government agency or is independent.

a. Integrated (please specify agency _____)

b. Independent

2. What are the sources of financing for the national authority's budget?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Government allocation ⁽⁵⁾
b.	<input type="checkbox"/>	<input type="checkbox"/>	Self-financing (through law enforcement activities) ⁽⁶⁾
c.	<input type="checkbox"/>	<input type="checkbox"/>	Civil society contributions ⁽⁷⁾
d.	<input type="checkbox"/>	<input type="checkbox"/>	International cooperation ⁽⁸⁾
e.	<input type="checkbox"/>	<input type="checkbox"/>	Others (specify)

F. If there is an annual budget for the national authority, please indicate the amount for the following fiscal periods:

Fiscal Year	Proposed budget (US\$) ⁽⁹⁾	Approved budget (US\$) ⁽¹⁰⁾	Total budget received (US\$) ⁽¹¹⁾
2006			
2007			
2008			
2009			

G. 1. Please indicate if this budget is adequate.

Y N

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2. If not, please explain why.

H. 1. Please indicate if this budget is also used by the central technical office to carry out its mandates.

Y N

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2. If not, please explain how the central technical office's activities are financed.

I. Observations:

J. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **National anti-drug authority** refers to the central government body responsible for coordination and follow-up of the national anti-drug plan/strategy.

⁽²⁾ **Coordination** is the work performed by the national authority as the leading government agency, guiding policy, strategy, and the national anti-drug system, that directs the design and execution of the national strategy and plans in

which government ministries, provincial, state, and municipal governments and civil society organizations participate in the framework of a national anti-drug system.

⁽³⁾ **Central technical office** refers to the central government body responsible for the implementation of the programs and projects of the national anti-drug plan/strategy.

⁽⁴⁾ An **annual budget** for the national 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, control measures and others in the national plan/ strategy.

⁽⁵⁾ **Government allocation** refers to the part of the operational budget that is funded by money allocated to the national authority by the specific government office that oversees its activities.

⁽⁶⁾ **Self-financing (through law enforcement activities)** refers to 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.

⁽⁷⁾ **Civil society contributions** to the national authority's annual budget are cash or in-kind donations for the execution of activities or projects of the national authority.

⁽⁸⁾ **International cooperation** refers to financial contributions from countries or international organizations, in the form of in equipment and/or technical support, in order to support the work of the national authority.

⁽⁹⁾ **Proposed budget** is the budget proposed by the national authority to its government in order to be able to fulfill institutional objectives.

⁽¹⁰⁾ **Approved budget** is the budget that has been approved by the government for the national drug authority to implement the different activities and projects.

⁽¹¹⁾ **Total budget received** is the total annual operating budget of the national authority, including all civil society contributions, international contributions and self-financing.

3

INTERNATIONAL CONVENTIONS

TREATIES

PURPOSE OF INDICATOR

To determine the status of ratification of the international instruments

A. 1. Indicate if your country signed/ratified ⁽¹⁾ any of the following international conventions:

	Convention	Date of Signing	Date of Ratification
a.	United Nations Convention against Corruption, 2003		
b.	United Nations Convention against Transnational Organized Crime, 2000		
1.	Protocol against the Smuggling of Migrants by Land, Sea and Air		
2.	Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children		
3.	Protocol against the Illicit Manufacturing of and Trafficking in Firearms, Their Parts and Components and Ammunition		
c.	Inter-American Convention against Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials (CIFTA), 1997		
d.	Inter-American Convention against Corruption, 1996		
e.	Inter-American Convention on Mutual Assistance in Criminal Matters, 1992		
f.	United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988		
g.	UN Single Convention on Narcotic Drugs, 1961 as amended by the 1972 Protocol		
h.	United Nations Convention on Psychotropic Substances, 1971		

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

C. 1. Has your country enacted any legislation or regulations in accordance with the aforementioned international conventions during the years 2006-2009?

Y

N

<input type="checkbox"/>	<input type="checkbox"/>
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2. If the answer is “yes”, please indicate the thematic area covered and the pertinent legislation including its date of enactment.

International Convention	Thematic Area	Legislation/Date of Enactment

D. Observations:

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E. Agency and official providing information:

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Definitions and Explanations

⁽¹⁾ **Ratification** is the formal confirmation of a treaty subsequent to signature by a state that makes it binding upon the state. 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.

4

CAPACITY FOR INFORMATION PRODUCTION, COLLECTION AND ANALYSIS

INFORMATION SYSTEM

PURPOSE OF INDICATOR

To determine a country's capacity for producing and collecting information 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, and/or carries out studies and/or compiles, and/or coordinates drug-related statistics and other drug-related information?

Y N

2. If the answer is "yes", does this office have an assigned budget to carry out its functions?

Y N

3. If the answer to A.1 is "no", please indicate how your government gathers and reports drug-related statistics and other drug-related information.

- B. Indicate which studies related to demand reduction your country has carried out during the years 2006-2009:

Studies	2006		2007		2008		2009	
	Yes	No	Yes	No	Yes	No	Yes	No
Priority Studies								
1. Survey of secondary school students								
2. National household surveys								
3. Access to patient registers of treatment centers in the country. Indicate year of implementation.								

Recommended Studies								
4.	Cross-section survey of patients in treatment centers							
5.	Access to forensic medicine registers of deceased persons, which show the association of drug use and cause of death. Indicate year of implementation.							
6.	Survey of patients in emergency rooms							
7.	Survey of higher education students							
8.	Number of drug-related deaths ⁽³⁾							
9.	Others (specify)							

C. Indicate what information related to supply reduction your country has available for the years 2006 – 2009.

Information	2006		2007		2008		2009	
	Yes	No	Yes	No	Yes	No	Yes	No
Priority Information								
1.	Drug availability indicators ⁽⁴⁾							
2.	Quantities of drugs seized							
3.	Number of persons charged with and convicted of drug use, possession and trafficking							
4.	Number of drug labs dismantled							
Recommended Information								
5.	Number of persons formally charged with and convicted of money laundering							
6.	Number of persons formally charged with and convicted of trafficking in firearms, explosives, ammunition and related materials							
7.	Number of persons formally charged with and convicted of diversion of chemical substances							
8.	Quantities of chemical substances seized							
9.	Sale price of drugs (for consumers) ⁽⁵⁾							
10.	Others (specify)							

D. Please indicate if your country has undertaken a study on the economic and social cost of drugs during the years 2006-2009.

Y

Specify year:

N

E. Observations:

F. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ Some member states collect drug-related statistics at the regional/provincial or municipal level. If that is the case in your country, please indicate in question A.3.

⁽²⁾ **A National Observatory on Drugs** is aimed primarily at collecting and analyzing drug-related statistics, conducting studies, carrying out cross-disciplinary analyses of supply and demand data, and apply research findings to policy and practice, as well as collecting, organizing and disseminating drug-related information (documents, books, etc.) to support national programs.

⁽³⁾ **Drug-related deaths** are understood as deaths directly attributable to or induced by the use or abuse 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 or abuse, as well as newborn deaths associated with the mother's drug use. According to the World Health Organization, the causes of death are to be classified according to the Ninth or Tenth Revision of the International Classification of Diseases (ICD-9 or ICD-10).

⁽⁴⁾ **Drug availability indicators** are indicators aimed at measuring the availability of the main drugs of use in the country, as well as how readily available they are. In general, this information is obtained through drug use surveys carried out among students as well as the general population. Participants in the survey are asked "when was the last time you were offered a certain substance to try or to buy". The resulting indicator would refer to the last year or the last month.

⁽⁵⁾ **Sale price of drugs (for consumers):** This indicator seeks to evaluate the changes, over time, of the price of the main drugs of use in the country. In general, this information is obtained through drug use surveys carried out among students as well as the general population. In these cases, drug users of a given substance over the last month are asked the price of one dose of the substance in question.

5

IMPLEMENTATION OF A NATIONAL/ REGIONAL/ PROVINCIAL SYSTEM OF DRUG ABUSE PREVENTION PROGRAMS THAT TARGET KEY POPULATIONS

PREVENTION

PURPOSE OF INDICATOR

Evaluate if drug abuse prevention programs for key population groups are being implemented

A. Please indicate whether your country is carrying out drug abuse prevention programs⁽¹⁾ that target key populations⁽²⁾ in the table below.

Y	N	Population group	Estimated Coverage		Name of program	Type of program (universal, selective, indicated) ⁽⁵⁾
			Target population ⁽³⁾	% coverage ⁽⁴⁾		
		School children and university students:				
		• Pre-school (specify age groups): _____				
		• Elementary/primary (specify age groups): _____				
		• Junior high & high school (secondary school) (specify age groups): _____				
		• University/tertiary education (specify age groups) _____				
		Street Population:⁽⁶⁾				
		• Street children (indicate age group): _____				
		• Street youths (indicate age group) _____				
		• Adults (indicate age group) _____				

Y	N	Population group	Estimated Coverage		Name of program	Type of program (universal, selective, indicated) ⁽⁵⁾
			Target population ⁽³⁾	% coverage ⁽⁴⁾		
		Family				
		Gender ⁽⁷⁾				
		• Women				
		• Men				
		Community				
		Indigenous groups (if applicable)				
		Migrants and refugees				
		Workers in the workplace ⁽⁸⁾				
		Incarcerated individuals				
		Other ⁽⁹⁾ (Please specify: _____)				

B. Are your country's school-based prevention programs compatible with the principles set out in *CICAD's Hemispheric Guidelines on School-based Prevention*?

Y N

C. Are your country's workplace prevention programs compatible with the principles set out in *CICAD's Hemispheric Guidelines on Workplace Prevention*?

Y N

D. Observations:

E. Agency and official providing information:

F. Bibliographic information⁽¹⁰⁾:

Definitions and Explanations

⁽¹⁾ **A drug abuse prevention program** is a series of activities carried out on a continuous and systematic basis over a period of time, with a planned curriculum or course of activities, appropriate instructional resources and written and/or audio-visual materials. Individual sporadic activities, actions or lectures do not constitute a program.

⁽²⁾ **Programs that target key populations**, also referred to as target populations, are those that develop and implement drug abuse prevention strategies that are tailored to the characteristics of that particular population group, context, gender, age and ethnicity (e.g. primary school or high school students, working children, women, indigenous groups, etc.).

⁽³⁾ **Target population**: population group that the program seeks to address. The size of the target population will depend on the type of program that is to be implemented. In the case of *universal prevention programs*, it will be the entire population group, while *selective or indicated prevention programs* will target the population “at risk” or at “high risk”.

⁽⁴⁾ **Coverage Rate**: population group actually served by a program expressed as a percentage of the target population.

$$\frac{\text{Size of population served}}{\text{Size of target group}} \times 100$$

Example: Target population = all primary school children in the country = 10,000

Population served = primary school children in the country to whom the prevention program was delivered during the year = 1,000

$$\text{Coverage rate} = \frac{1,000}{10,000} \times 100 = 10\%$$

⁽⁵⁾ **Type of program**:

“**Universal prevention programs** target the general population, such as all students in a school. This level of prevention strengthens values, attitudes, knowledge and abilities that allow the child or youth to lead a healthy and drug-free lifestyle.”

“**Selective prevention programs** target at-risk groups or subgroups of the general population, such as children of drug-users or poor school achievers.”

“**Indicated prevention programs** are designed for people who are already experimenting with drugs or who exhibit other risky behaviors.”

CICAD’s Hemispheric Guidelines on School-based Prevention, Washington, DC, 2005

⁽⁶⁾ **Street Population** refers to children and young people who are not in school and who either live on the street or who, while living at home, spend their time in the streets, and to adults who live on the street (homeless people) in socially precarious conditions.

⁽⁷⁾ **Gender:** Specific programs are often designed to address the special concerns of women in their child-bearing years (e.g., no use of drugs, alcohol or tobacco during pregnancy), and to emphasize the role that women play in the family and community as caregivers and community leaders. Similarly, some countries may have substance abuse prevention programs that address masculinity and the use of alcohol and other licit and illicit drugs.

⁽⁸⁾ **Workplace drug abuse programs** may include drug and alcohol abuse prevention and education for employees and management; employee assistance programs; referral to and/or financial assistance for treatment for substance abuse; on-site facilities made available for Alcoholics Anonymous (AA) and Narcotics Anonymous (NA) groups; and written policies about non-use of alcohol and other licit and illicit drugs on the job.

⁽⁹⁾ **Other groups at risk:** Each member state should determine those population groups that may, in that country, be at higher risk for the use of drugs. These high-risk groups might include prostitutes, migrants, HIV-positive individuals, homeless people, street youth and injecting drug users.

⁽¹⁰⁾ **Bibliographic references:** Please annex or provide a list of relevant publications on the topic of prevention that have been published during the last year. You may also provide the link to a website.

6

AVAILABILITY OF SPECIALIZED TRAINING IN DRUG ABUSE PREVENTION, TREATMENT, AND RESEARCH

PREVENTION

PURPOSE OF INDICATOR

To assess the national capacity to provide specialized training in drug abuse prevention, treatment and research

- A. 1. During the years 2006-2009, were diplomas, certificates, university degrees, or 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"/>	Training for police officers, teachers, counselors, prison guards, community leaders or others (specify)
b.	<input type="checkbox"/>	<input type="checkbox"/>	Technical, non-university training (e.g., drug treatment counselors, prevention technicians)
c.	<input type="checkbox"/>	<input type="checkbox"/>	Courses on prevention and/or treatment in the curricula for courses of study leading to an undergraduate degree
d.	<input type="checkbox"/>	<input type="checkbox"/>	Continuing education courses for university graduates (e.g., professors, teachers, social workers, health professionals, etc.)
e.	<input type="checkbox"/>	<input type="checkbox"/>	Diplomas/certificates (university-level programs)
f.	<input type="checkbox"/>	<input type="checkbox"/>	Graduate/Postgraduate Specialization (M.A., B.Phil., Ph.D., post-doctoral)
g.	<input type="checkbox"/>	<input type="checkbox"/>	Regional and international training programs
h.	<input type="checkbox"/>	<input type="checkbox"/>	Others (specify) _____

2. If the answer to A.1.a is “yes”, please list the refresher or in-service training courses in the table below:

Name of training course	Prevention	Treatment/ Rehabilitation	Research	Offered to whom?	How many participants?			
					2006	2007	2008	2009

3. If the answer to A.1.b is “yes”, please list the titles of the technical, non-university training in the following table:

Name of training course	Prevention	Treatment/ Rehabilitation	Research	How many participants?			
				2006	2007	2008	2009

4. If the answer to A.1.c is “yes”, please list below the universities in your country that include content on prevention, treatment and/or research in the curricula of the following disciplines associated with the drug abuse field:

	Y	N	Discipline	Name of University
a.	<input type="checkbox"/>	<input type="checkbox"/>	Medicine	
b.	<input type="checkbox"/>	<input type="checkbox"/>	Psychology	
c.	<input type="checkbox"/>	<input type="checkbox"/>	Nursing	
d.	<input type="checkbox"/>	<input type="checkbox"/>	Social Work	

e. Sociology

f. Public Health

g. Pharmacy

h. Other (specify)

5. If the answer to A.1.d, A.1.e, A.1.f is “yes”, please indicate the name(s) of the universities that offer graduate level degrees (M.A. or Ph.D.) in addiction, prevention and treatment, and/or research for professionals that work in areas related to drug abuse treatment and/or prevention (ex: psychologists, social workers, psychiatrists, nurses, public health specialists, professors and teachers, etc.)

Name of University	Continuing Education	Diplomas/Certificate	Specialization	MA	PhD	Duration of programs				
						Con. Ed.	Diploma/cert.	Spec.	MA	PhD

6. a. Have specialists from your country participated in regional and/or international training programs in the prevention, treatment or research of drug abuse?

Y N

b. If the answer is “yes,” please list the programs in which your country’s specialists participated during 2006-2009.

B. Observations:

C. Agency and 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.

7

EVALUATION OF DRUG ABUSE PREVENTION PROGRAMS

PREVENTION

PURPOSE OF INDICATOR

To determine whether evaluations of drug abuse prevention programs have been carried out in the country

- A. 1. During the years 2006–2009, did your country carry out any process⁽¹⁾ or intermediate outcome evaluations⁽²⁾ of drug abuse prevention programs?

Y N

2. If the answer is “yes”, please complete the table below:

Program evaluated	Title of evaluation performed ⁽³⁾	Type of evaluation performed	Year of program evaluation (2006, 2007, 2008, 2009)

- B. 1. During the years 2006–2009, did your country conduct impact evaluations⁽⁴⁾ (“best practices”) or any other research studies of drug abuse prevention programs?

Y N

2. If the answer is “yes”, please complete the table below:

Program evaluated	Title of study performed or underway	Year of publication of research findings (2006, 2007, 2008, 2009)	Carried out by (specify research institution(s) or individual researcher(s))

3. Please attach or provide a link to the relevant research documents:

C. Observations:

D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ A **process evaluation** includes documenting each step of the design of a specific intervention, to determine its efficacy, efficiency and effectiveness. It seeks to determine whether the intervention efficiently meets its short term goals, has successfully reached the target population, and the materials used are appropriate.

⁽²⁾ An **intermediate outcome evaluation** assesses the effectiveness of the program; that is, what the project is expected to change. The outcome may include changes in behavior, status, attitude or certification of the beneficiaries after receiving the program's goods or services. The importance of the intermediate outcome evaluation lies in the expectation that the results will drive the final outcome (impact) of the program or project.

⁽³⁾ **Title of evaluation performed:** Please indicate the title of the evaluations, the institutions that carried out the evaluations and bibliographical references.

⁽⁴⁾ **Impact evaluation:** This is an assessment of the final outcomes of key actions or inputs relative to what would have occurred in the absence of an intervention. These results indicate an improvement in the conditions of the target population directly attributable to these actions. In some instances it is difficult to carry out these measurements, due to the difficulty in isolating the effects of other external variables and/or because many of these effects are long term.

In the drug area, prevention research or prevention science may use qualitative or quantitative methods in a variety of disciplines to assess the long-term effectiveness or impact that a particular prevention program or approach 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, ethnographic or anthropological research, or other comparative assessments of the short- and long-term impacts of a particular drug abuse prevention program.

8

OPERATION OF THE INSTITUTIONAL FRAMEWORK FOR THE TREATMENT OF DRUG USE-RELATED PROBLEMS

TREATMENT

PURPOSE OF THE INDICATOR

To assess the country's institutional capacity⁽¹⁾ to provide treatment for problems related to drug use.

- A. 1. Which government agencies are responsible for designing and executing public policies regarding treatment?⁽²⁾

SPECIFIC RESPONSIBILITIES

Agency	Design and execution of public policy	Control and regulation of treatment services	Financing	Program supervision	Human resources training	Other(s) (specify)

2. What amount of public financing is allocated for treatment activities in the country?⁽³⁾

Estimated amount of the national budget allocated for financing treatment programs			
2006(US\$)	2007(US\$)	2008(US\$)	2009(US\$)

- B. Observations:

- C. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Institutional capacity** refers to the array of institutions and legal and technical instruments that comprise the national/provincial government's framework for the provision of treatment services to persons with drug use problems. This indicator evaluates the existence of public policies on drug treatment and describes the authorities responsible for the design, implementation and evaluation thereof.

⁽²⁾ **Treatment authority:** The organization or position with vested governmental powers to develop and put into practice public policies in the area of drug treatment.

⁽³⁾ **Treatment funding** refers to public funding for activities in the area of treatment. In most countries, this budget item is divided among several agencies (Ministries of Health, Social Development, the Prison System, and Public Safety, among others). It is recommended that countries tally up the various relevant budgetary appropriations and estimate what proportion they comprise of the total national budget, expressed in local currency and US dollars for the sake of comparison.

9

CHARACTERISTICS OF TREATMENT SERVICES FOR PROBLEMS ASSOCIATED WITH DRUG USE

TREATMENT

PURPOSE OF INDICATOR

To assess the organization ⁽¹⁾ and operations of treatment services for persons with problems associated with drug use

A. REGULATION OF DRUG TREATMENT SERVICES⁽²⁾

1. a. Are there official operating standards⁽³⁾ in place for specialized facilities ⁽⁴⁾ that provide treatment services for persons with problems associated with drug use?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

- b. If the answer is “yes”, please provide the title of the document and annex it.

2. a. Does your country have an official licensing procedure⁽⁵⁾ established to authorize the operation of specialized facilities that provide treatment services for persons with problems associated with drug use?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

- b. If the answer is “yes”, please provide the title of the document and annex it.

3. a. Is there an official register⁽⁶⁾ of specialized facilities that provide treatment services for persons with problems associated with drug use?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

b. If the answer is “yes”, please provide the title of the document and annex it.

--

4. Is there a monitoring system⁽⁷⁾ for specialized facilities that provide treatment services for persons with problems associated with drug use?

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

B. INTEGRATION OF DRUG TREATMENT INTO THE OVERALL HEALTH CARE SYSTEM

1. a. Do your country’s Primary Health Care facilities (PHC)⁽⁸⁾ perform any specific activities⁽⁹⁾ (such as screening, guidance, referral, or brief intervention) to address problems associated with drug use?

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

b. If the answer is “yes”, please provide a description of these activities.

--

2. a. Are there data on the number of PHC facilities that deliver specialized care for problems associated with drug use?

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

b. If the answer is “yes”, please provide these data.

2006	2007	2008	2009

3. a. Are there data on the number of cases treated⁽¹⁰⁾ in officially-licensed specialized treatment facilities for problems associated with drug use that were referred from the general health care system (outpatient facilities or hospitals)?

Y N

--	--

- b. If the answer is “yes”, please provide the number of cases.

2006	2007	2008	2009

- c. Are there data on the total number of cases treated in officially-licensed specialized treatment facilities for problems associated with drug use?

Y N

--	--

- d. If the answer is “yes”, please provide the number of cases.

2006	2007	2008	2009

C. Observations:

D. Agency and official providing information:

Definitions and Explanations

(1) **Organization of drug treatment services** refers to the way in which programs that provide care to persons with a dependency on alcohol and other drugs are configured. For example, they may be centralized in a single facility; or, perhaps most commonly, these services may be delivered through a system of coordination among different institutions for patient referral, in order to ensure adequate coverage and continuity of care.

Of particular importance to this indicator is government regulation of both public and private drug treatment services, as well as the integration of the specialized alcohol and drug treatment system into the general health care system.

(2) **Regulation of drug treatment services.**- The set of measures taken by the national or provincial/State government to assure an adequate supply of drug treatment services in specialized treatment facilities. The government supervises and regulates delivery of such services through official standards and regulations.

(3) **Official operating standards.**- The set of mandatory official regulations with which specialized drug treatment facilities are required to comply. They lay out the minimum operating requirements based on quality standards and in keeping with the legal framework in force. (See, for example, the World Health Organization's publication *Assessing the standards of care in substance abuse treatment*, Geneva, 1993, accessed at http://whqlibdoc.who.int/hq/1993/WHO_PSA_93.5.pdf, and other examples on CICAD's website http://www.cicad.oas.org/Reduccion_Demanda/eng/DRprojects/Normas/standardsmain.asp

(4) **Specialized drug treatment facility.**- The facility in which care is delivered to drug- and alcohol-dependent persons. Usually a physical space or premises (e.g., a hospital, or clinic) in which programs are carried out and assistance provided to various target groups with specific drug problems.

(5) **Official licensing procedure.**- The standard procedure by which the authority appointed by the national government for the purpose grants permission to operate a treatment facility and be included in the relevant official register. It is the equivalent of what in some countries is known as "authorization" or an "operating permit".

(6) **Official register of specialized treatment facilities.**- An official record that includes all treatment facilities that meet the requirements prescribed in the official operating standards adopted by government to enable them to operate.

(7) **Monitoring** is an ongoing process carried out by government agencies in order to monitor and follow-up on compliance with the technical and administrative requirements established in the official operating standards for specialized drug treatment facilities.

(8) **Primary Health Care (PHC).**- "Essential health care based on practical, scientifically sound and socially acceptable methods and technology made universally accessible to individuals and families in the community through their full participation and at a cost that the community and country can afford to maintain at every stage of their development in the spirit of self-reliance and self-determination.

"Primary care forms an integral part both of the country's health system, of which it is the central function and main focus, and of the overall social and economic development of the community.

"Primary care is the first level of contact of individuals, the family and community with the national health system, bringing health care as close as possible to where people live and work, and constitutes the first element of a continuing health care process."

WHO, *Point VI of the Declaration of Alma-Ata (1978)*

(9) **Specific treatment activities for drug use problems in Primary Health Care (PHC)**

Screening.- Includes identification or presumptive diagnosis of alcohol and other drug problems, which is performed by health care teams, by means either of an interview or standardized screening instruments. It does not constitute a final diagnosis, which should be made by specialists in the treatment of such problems.

Guidance and referral.- Once the current or potential drug or alcohol use has been identified, guidance and referral are interventions geared to heightening the individual's perception of the harm associated with drug use, and referral of cases, where warranted, to facilities with appropriate resources to meet the need for care.

Brief intervention.- A low-intensity therapeutic approach to deliver timely care to users of alcohol and other drugs who are at risk of developing a dependence or abuse disorder. The purpose is to minimize the impact of drug use on the life of the individual by acting on risk and protective factors. Measures of this type usually consist of a few sessions and include interventions of a psychosocial nature.

⁽¹⁰⁾ **Treated case (in specialized treatment facilities for alcohol and drug problems).**- A treated case is one in which the user of alcohol and other drugs has initiated a formal course of treatment, undergone an initial interview, and had a case history opened on him/her in the facility.

10

NATIONAL TREATMENT COVERAGE FOR DRUG USE PROBLEMS

TREATMENT

PURPOSE OF THE INDICATOR

To assess treatment services in the country for persons with drug use problems in terms of access to care

A. TREATMENT COVERAGE ⁽¹⁾

GEOGRAPHIC COVERAGE

1. Does your country have officially-licensed specialized drug treatment?

Y N

2. If the answer is “yes”, please provide the following data:

(a) Number of states or provinces ⁽²⁾ in the country that have officially-licensed specialized drug treatment facilities	
(b) Total number of states or provinces in the country	

B. OVERALL ANNUAL COVERAGE OF THE POPULATION POTENTIALLY IN NEED OF CARE ⁽³⁾

1. Does your country have cases of persons with drug problems (diagnosis of abuse or dependence) treated at officially-licensed specialized treatment facilities?

Y N

2. If the answer is “yes”, please provide the the following data:

	2006	2007	2008	2009
(a) Number of cases treated in officially-licensed specialized treatment facilities for				

alcohol and other drug problems				
(b) Estimated number of persons potentially in need of care				

If your estimate refers to an age group other than 15-64 years, please indicate below which age range you are using: _____

3. Indicate the source of these data:

C. SPECIFIC ANNUAL COVERAGE

1. Using available data in the country on cases treated in officially-licensed specialized treatment facilities for drug problems, please complete the following table:

Number of cases treated in officially-licensed specialized treatment facilities for drug problems				
	2006	2007	2008	2009
(a) Male				
(b) Female				
(c) Total cases treated				
(d) Under 18 years old				
(e) 19 - 25 years old				
(f) Over 25 years old				
(c) Total cases treated				
(g) Alcohol				
(h) Cannabis				
(i) Heroin				
(j) Morphine (*)				
(k) Methadone (*)				
(l) Opioids				
(m) Cocaine Hydrochloride				
(n) Crack				
(o) Inhalants				
(p) LSD				
(q) Other (Specify _____)				
(r) Benzodiazepines (*)				
(s) Barbiturates (*)				
(t) Amphetamines				
(u) Methamphetamines and other derivatives				
(v) Anorexigenics				
(w) Other (Specify _____)				
(x) Other drugs				
(c) Total cases treated				
Outpatient				
Residential				
(c) Total cases treated				

(*) Without medical prescription

2. a. Are data available on the total number of cases treated in unlicensed specialized treatment facilities for drug problems?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

- b. If the answer is “yes,” please indicate the number of cases:

2006	2007	2008	2009

- c. Please indicate the type of treatment provided by these unlicensed specialized treatment facilities:

--

3. How many treatment centers in your country offer aftercare programs?⁽⁴⁾

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- D. Observations:

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- E. Agency and official providing information:

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Definitions and Explanations

(1) **Treatment Coverage:** The degree to which treatment services at officially-licensed specialized facilities cover the population in need of such treatment. This indicator takes into consideration **overall coverage:** percentage of the population potentially in need of care that in fact receives treatment. The distribution of the treatment facilities by region is also reported.

(2) **State or Province:** Political and administrative areas into which the country is divided (equivalent to the concept of state, province, department, region and/or other major divisions used in each country)

(3) **Population potentially in need of care:** Includes “problem users”; that is, those who have personal, health, family, and/or social problems as a result of their drug or alcohol use. Equivalent to the “harmful use”, “abuse”, and “dependence” categories described in the ICD-10 and DSM-IV. If your country has conducted surveys of drug use in the general population (aged 15-64, or other age range) that included scales to evaluate problem use, then please use that estimate (number of cases of problematic use of alcohol and other drugs) in this indicator. If you do not have such an estimate, but do have last-year prevalence for ages 15-64 of the use of alcohol and other drugs, you can obtain an estimate of the number of problematic drug users as follows:

1. multiply the size of the country’s population aged 15-64 by the last-year prevalence stated as a proportion;
2. then multiply the resulting number by 0.2.

Example:

- (a) Population size (aged 15-64) = 1,000,000
- (b) Last-year prevalence (ages 15-64) for marijuana = 7% (0.07)
- (c) Total number of last year users of marijuana = [(a) x (b)] = 70,000
- (d) Estimated number of problematic marijuana users = [(c) x 0.2] = 14,000

A finding of a number of general population studies is that an estimated 20% of last-year users meet the criteria for abuse or dependence.

If you use an age range for general population surveys other than 15-64 years, please indicate the age range used.

(4) **Aftercare:** A set of interventions designed to ensure full reintegration into family, academic, and social life of persons who are dependent on or abuse alcohol and other drugs, generally as a follow-up to a treatment and dishabituation process. Aftercare entails the inclusion of family, vocational-workplace, educational, and housing components.

11

QUALITY OF NATIONAL TREATMENT SERVICES FOR DRUG USE-RELATED PROBLEMS

TREATMENT

PURPOSE OF THE INDICATOR

To assess national treatment services for persons with alcohol and other drug problems in terms of quality and effectiveness

A. PATIENT FOLLOW-UP ACTIVITIES⁽¹⁾

1. In your country are activities carried out through treatment centers or specialized studies to follow-up on patients discharged after completion of their prescribed treatment plan?

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

2. If the answer is “yes”, please attach the studies.

B. QUALIFIED TREATMENT STAFF⁽²⁾

1. In how many officially-licensed specialized treatment facilities for drug problems is care supervised by professional staff specifically trained in this area?

(a) Number of officially-licensed specialized treatment facilities for drug problems in which care is supervised by professional staff specifically trained in this area		Percentage (%) of facilities supervised by qualified treatment staff ⁽²⁾ [(a) / (b)] x 100
(b) Total number of officially-licensed specialized treatment facilities		

C. COMPLETION OF TREATMENT ⁽³⁾

1. How many of the cases that received treatment in officially-licensed specialized treatment facilities for drug problems completed their prescribed treatment plan?

	2006	2007	2008	2009
(a) Number of cases that received treatment in officially-licensed specialized treatment facilities for drug problems and that completed their indicated treatment plan				
(b) Number of cases treated in officially-licensed specialized treatment facilities for drug problems				

D. CLIENT SATISFACTION WITH DRUG TREATMENT SERVICES RECEIVED ⁽⁴⁾

1. How many of the cases that received treatment in officially-licensed specialized treatment facilities for drug problems and that completed the prescribed treatment plan expressed satisfaction with the treatment they received?

	2006	2007	2008	2009
(a) Number of cases that received treatment in officially-licensed specialized treatment facilities for drug problems that completed the indicated treatment plan and that expressed satisfaction with the treatment				
(b) Number of cases that received treatment in officially-licensed specialized treatment facilities for drug problems and that completed the indicated treatment plan				

E. Observations:

F. Agency and official providing information:

Definitions and Explanations

(1) **Follow-up:** Interventions conducted after discharge of the patient, involving reports on his/her behavior (e.g., abstinence, criminal behavior, state of health, academic and work performance, etc.)

(2) **Qualified treatment staff:** Treatment interventions are supervised by suitably qualified and certified professionals and technicians with specific training in treatment of persons with alcohol and other drug problems.

(3) **Completion of treatment:** A therapeutic intervention in which all of the activities provided in the treatment plan have been satisfactorily completed.

(4) **Client satisfaction with treatment services received:** The subjective opinion of users of treatment facilities about the care received, obtained by means of standardized instruments.

12

MAGNITUDE OF DRUG USE/ABUSE

DRUG USE STATISTICS

PURPOSE OF INDICATOR

To estimate the magnitude of drug use and identify problematic drug use and abuse

A. Does your country have an estimate of indicators of drug use (prevalence and/or incidence rate⁽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 provide further details in Section C, Observations
2. Yes – an estimate for the general population of the country as a whole (go to Tables 1 and 2 below)
3. Yes – an estimate for part of the country or part of the population (go to Tables 3 and 4 below)

B. Does your country conduct surveys on a regular basis?

1. No – please provide further details in section C, Observations
2. Yes – please complete the table below:

Population surveyed		Frequency (in years)
General population		
Specific population 1		
Specific population 2		
...
Specific population n		

Table 1 – Prevalence in the General Population

Year of Latest Survey:		Age Group Surveyed:								
[]		[]								
Type of drug	Lifetime (percentage)			Last 12 months (percentage)			Last 30 days (percentage)			
	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 Marijuana										
4c Other Cannabis Type										
5. Hallucinogens										
5a LSD										
5b PCP										
5c Other hallucinogens										
6. Poppy derivatives										
6a Heroin										
6b Morphine*										
6c Opium										
6d Other Opioids*										
7. Substances that contain cocaine										
7a Cocaine HCL										
7b Crack										
7c Others** Specify: _____										
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 MDMA (Ecstasy) ⁽⁵⁾										
9c Methamphetamines*										
9d Other Stimulants*										
10. Methylphenidate*										
11. Other drugs										
12. Any drug ⁽⁶⁾										

*Non-prescribed/non-therapeutic use only

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

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 percentages of the reference population.

Table 2 – Incidence in the General Population

Year of Latest Survey:		Age Group Surveyed:					
<input type="text"/>		<input type="text"/>					
Type of drug	Last 12 months (percentage)			Last 30 days (percentage)			
	M	F	Total ⁽⁴⁾	M	F	Total ⁽⁴⁾	
1. Alcohol							
2. Tobacco							
3. Solvents & Inhalants							
4. Cannabis Type							
4a Hashish							
4b Marijuana							
4c Other Cannabis Type							
5. Hallucinogens							
5a LSD							
5b PCP							
5c Other hallucinogens							
6. Poppy derivatives							
6a Heroin							
6b Morphine*							
6c Opium							
6d Other Opioids*							
7. Substances that contain cocaine							
7a Cocaine HCL							
7b Crack							
7c Others** Specify: _____							
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 MDMA (Ecstasy) ⁽⁵⁾							
9c Methamphetamines*							
9d Other Stimulants*							
10. Methylphenidate*							
11. Other drugs							
12. Any drug ⁽⁶⁾							

*Non-prescribed/non-therapeutic use only

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

Table 3 – Prevalence in Specific Populations

Estimate for part of the population or part of the country (e.g., capital city only; large cities; particular region or province; high school students; university students; emergency rooms; detention centers; treatment centers, medical examiners' reports). Please indicate the target population of the study.

Year of Last Survey: <input type="text"/>		Target population of the study: <input type="text"/>								
		Representative sample: ⁽⁷⁾ Y <input type="checkbox"/> N <input type="checkbox"/>								
	Type of drug	Lifetime (percentage)			Last 12 months (percentage)			Last 30 days (percentage)		
		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	Marijuana									
4c	Other Cannabis Type									
5.	Hallucinogens									
5a	LSD									
5b	PCP									
5c	Other hallucinogens									
6.	Poppy derivatives									
6a	Heroin									
6b	Morphine*									
6c	Opium									
6d	Other Opioids*									
7.	Substances that contain cocaine									
7a	Cocaine HCL									
7b	Crack									
7c	Others** Specify: _____									
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	MDMA (Ecstasy) ⁽⁵⁾									
9c	Methamphetamines*									
9d	Other Stimulants*									
10.	Methylphenidate*									
11.	Other drugs									
12.	Any drug ⁽⁶⁾									

* Non-prescribed/non-therapeutic use only

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

Note: This table may be copied as many times as needed to report the conclusions of different surveys conducted during this year.

Table 4 – Incidence in Specific Populations

Estimate for part of the population or part of the country (e.g., capital city only; large cities; particular region or province; high school students; university students; emergency rooms; detention centers; treatment centers, medical examiners' reports). Please indicate the target population of the study.

Year of Last Survey:	Target population of the study:					
<input type="text"/>	<input type="text"/>					
	Representative sample: ⁽⁷⁾ Y <input type="checkbox"/> N <input type="checkbox"/>					
Type of drug	Last 12 months (percentage)			Last 30 days (percentage)		
	M	F	Total ⁽⁴⁾	M	F	Total ⁽⁴⁾
1. Alcohol						
2. Tobacco						
3. Solvents or inhalants						
4. Types of Cannabis						
4a Hashish						
4b Marijuana						
4c Other types of Cannabis						
5. Hallucinogens						
5a LSD						
5b PCP						
5c Other types of hallucinogens						
6. Poppy derivatives						
6a Heroin						
6b Morphine*						
6c Opium						
6d Other Opioids*						
7. Substances that contain cocaine						
7a Cocaine HCL						
7b Crack						
7c Others** Specify: _____						
8. Tranquilizers / Sedatives/ Depressants						
8a Barbiturates *						
8b Benzodiazepines*						
8c Flunitrazepam (Rohypnol®)*						
8d GHB						
8e Ketamine*						
8f Other Tranquilizers/Sedatives/ Depressants*						
9. Stimulants						
9a Amphetamines *						
9b Ecstasy (MDMA) ⁽⁵⁾						
9c Methamphetamines*						
9d Other Stimulants *						
10. Methylphenidate *						
11. Other drugs						
12. Any drug ⁽⁶⁾						

* Non-prescribed/non-therapeutic use only

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

Note: This table may be copied as many times as needed to report the conclusions of different surveys conducted during this year.

Table 5

A. Abuse and dependence in relation to number of users and total population surveyed.

Indicate the number of persons (n), in thousands, and the percentages that, according to the study, 'qualify' as individuals who are drug abusers or dependents (by drug type) in relation to users (1) and to the total population surveyed (2). Please refer to the example⁽⁸⁾.

POPULATION STUDIED (include age range) _____													
Type of drug		2006			2007			2008			2009		
		n	(1)	(2)	n	(1)	(2)	n	(1)	(2)	n	(1)	(2)
Alcohol	Abuse												
	Dependence												
Marijuana	Abuse												
	Dependence												
Cocaine HCl	Abuse												
	Dependence												
Other substances that contain cocaine** Specify: _____	Abuse												
	Dependence												

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

Notes⁽⁸⁾:

1. In (1), indicate percentage in relation to **previous year's users** 'qualifying' as abuse or dependence, or either.
2. In (2), indicate percentage in relation to **the total population surveyed** 'qualifying' as abuse or dependence, or either.

B. Indicate in the following table the criteria for the scale used to assess abuse and/or dependence in each case. (e.g. DSM-IV, AUDIT, CIE-10, etc.)

Type of drug		Scale used			
		2006	2007	2008	2009
Alcohol	Abuse				
	Dependence				
Marijuana	Abuse				
	Dependence				
Cocaine HCl	Abuse				
	Dependence				

Other substances that contain cocaine** Specify: _____	Abuse				
	Dependence				

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

C. Observations:

D. Agency and official providing information:

E. Please provide bibliographical references:

Definitions and Explanations

⁽¹⁾ **Rate of 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; and is generally multiplied by 100. There are three drug prevalence rates that are typically measured:

The **LIFETIME** prevalence of substance 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** determines the proportion of people who have used a drug at least once in the past year.

Prevalence during the **PAST 30 DAYS** determines the proportion of people who are probably regular users (sometimes referred to as “problematic” or “chronic” users).

Rate of incidence of drug use is defined as the number of people who began to use a drug during a specified period of time (a year or a month) divided by the number of people who are at risk of using a specific drug for the first time. The “at-risk population” is the total population under study minus those persons who have used drugs prior to the specified time period.

⁽²⁾ **Prevalence and incidence 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 TABLES 1 and 2 to report prevalence rates.

⁽³⁾ Information on **prevalence and incidence 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 3 to report the estimates.

(4) **Total** refers to the percentage of male and female drug users in the referenced population.

(5) May include non-MDMA stimulants identified as “ecstasy” by user.

(6) **Any Drug**: Refers to the use of any illegal or legal drug (except alcohol or tobacco). If another list of drugs has been included, please indicate in Section C (Observations).

(7) **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 the Observations Section at the end of this indicator.

(8) Example:

A study conducted in 20XX among the general population, using persons 12 to 64 years old in a particular country, would yield the following data:

Population represented = 2 million individuals.

Users of alcohol for last year = 1 million individuals (Prevalence of 50%)

Of the one million users,
100 thousand qualify as abuse (and not dependence), with 200 thousand as dependence.

FOR COLUMN n of Alcohol 'ABUSE' for 20XX: 100,000

FOR COLUMN n of Alcohol 'DEPENDENCE' for 20XX: 200,000

FOR COLUMN (1) of Alcohol 'ABUSE' for 20XX:

$$\frac{100 \text{ thousand}}{1 \text{ million alcohol users}} \Rightarrow 10\%$$

FOR COLUMN (1) of Alcohol 'DEPENDENCE' for 20XX:

$$\frac{200 \text{ thousand}}{1 \text{ million alcohol users}} \Rightarrow 20\%$$

FOR COLUMN (2) of Alcohol 'ABUSE' for 20XX:

$$\frac{100 \text{ thousand}}{2 \text{ million individuals (total of the population represented)}} \Rightarrow 5\%$$

FOR COLUMN (2) of Alcohol 'DEPENDENCE' for 20XX:

$$\frac{200 \text{ thousand}}{2 \text{ million individuals (total of the population represented)}} \Rightarrow 10\%$$

13

AGE OF FIRST USE OF DRUGS

DRUG USE STATISTICS

PURPOSE OF INDICATOR

To determine the age of first use of drugs

- A. What is the age of the first use of the different drugs in your country's general population 12 to 65 years of age?

If the study did not cover the general population of the country as a whole, specify the part of the population ⁽¹⁾, part of the country, or age range (different from 12 to 65 years) to which this estimate applies.

Indicate in (2) the average and in (3) the median⁽²⁾ age of first use.

Population: _____		2006		2007		2008		2009	
Type of drug		(2)	(3)	(2)	(3)	(2)	(3)	(2)	(3)
1.	Alcohol								
2.	Tobacco								
3.	Solvents or inhalants								
4.	Marijuana								
5.	Cocaine HCl								
6.	Other substances that contain cocaine** Specify: _____								
7.	Ecstasy								
8.	Others Specify: _____								

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

- B. Observations:

C. Agency and official providing information:

Definitions and Explanations

Note: If your country uses other (non-statistical) estimation methods to determine age of first use of any drugs (qualitative methods, rapid assessments, etc.), please report those estimates in the Observations box of this indicator.

⁽¹⁾ **General Population:** Refers to a sample of individuals who represent the entire population of your country.

Specific Population: Refers to a sample of individuals who represent a specific segment of the population of your country (children, teenagers, executives, etc.). Please indicate the specific population(s) surveyed.

⁽²⁾ **Median:** A value representing no more than 50% of the observations, and that is exceeded by no more than 50% of the observations when these are ordered according to their magnitude. For example, if the ages of five children (from the youngest to the oldest) are 7, 8, 10, 15, and 16, the median would be 10 (Note that the average would be 11.2).

14

PERCEIVED RISK OF DRUG USE AMONG YOUTH

DRUG USE STATISTICS

PURPOSE OF INDICATOR

To assess the attitudes of young people toward drug use, and the correlation with drug consumption

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

Y N

2. a. If the answer is “yes”, please provide the percentages in the table below, according to the type of study:

STUDIES ON SCHOOL POPULATION

Age group to which this applies _____	
Category*	% of those surveyed who believe that persons who engage in the following activities are at great risk (or who think that it is very harmful):
1. Occasionally smoke cigarettes	
2. Often smoke cigarettes	
3. Often drink alcoholic beverages	
4. Get drunk	
5. Occasionally take tranquilizers for non-medicinal purposes	
6. Occasionally take stimulants for non-medicinal purposes	
7. Often take tranquilizers for non-medicinal purposes	
8. Often take stimulants for non-medicinal purposes	
9. Occasionally inhale solvents	
10. Often inhale solvents	
11. Occasionally smoke marijuana	
12. Often smoke marijuana	
13. Occasionally take cocaine HCl or crack	
14. Often take cocaine HCl or crack	
15. Occasionally use other substances that contain cocaine SPECIFY**: _____	
16. Often use other substances that contain cocaine SPECIFY**: _____	
17. Occasionally take ecstasy	
18. Often take ecstasy	
19. Occasionally take other types of Methamphetamines	
20. Often take other types of Methamphetamines	

* If there are variations in the content of the questions, please indicate in the Observations box.

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

GENERAL POPULATION STUDIES: YOUNG PEOPLE AGED 12 TO 25

Category*	% of those surveyed who believe that persons who engage in the following activities are at great risk (or who think that it is very harmful):
21. Occasionally smoke cigarettes	
22. Often smoke cigarettes	
23. Often drink alcoholic beverages	
24. Get drunk	
25. Occasionally take tranquilizers for non-medicinal purposes	
26. Occasionally take stimulants for non-medicinal purposes	
27. Often take tranquilizers for non-medicinal purposes	
28. Often take stimulants for non-medicinal purposes	
29. Occasionally inhale solvents	
30. Often inhale solvents	
31. Occasionally smoke marijuana	
32. Often smoke marijuana	
33. Occasionally take cocaine HCl or crack	
34. Often take cocaine HCl or crack	
35. Occasionally use other substances that contain cocaine SPECIFY**:	
36. Often use other substances that contain cocaine SPECIFY**:	
37. Occasionally take ecstasy	
38. Often take ecstasy	
39. Occasionally other types of Methamphetamines	
40. Often other types of Methamphetamines	

* If there are variations in the content of the questions, please indicate in the Observations box.

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

STUDIES ON UNIVERSITY POPULATION

Age group to which this applies _____	
Category*	% of those surveyed who believe that persons who engage in the following activities are at great risk (or who think that it is very harmful):
41. Occasionally smoke cigarettes	
42. Often smoke cigarettes	
43. Often drink alcoholic beverages	
44. Get drunk	
45. Occasionally take tranquilizers for non-medicinal purposes	
46. Occasionally take stimulants for non-medicinal purposes	
47. Often take tranquilizers for non-medicinal purposes	
48. Often take stimulants for non-medicinal purposes	
49. Occasionally inhale solvents	
50. Often inhale solvents	
51. Occasionally smoke marijuana	
52. Often smoke marijuana	
53. Occasionally take cocaine HCl or crack	
54. Often take cocaine HCl or crack	
55. Occasionally use other substances that contain cocaine SPECIFY**:	
56. Often use other substances that contain cocaine SPECIFY**:	
57. Occasionally take ecstasy	
58. Often take ecstasy	
59. Occasionally other types of Methamphetamines	
60. Often other types of Methamphetamines	

* If there are variations in the content of the questions, please indicate in the Observations box.

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

- b. If your country has studies over time, indicate the nature and extent of the change in the perceived risk associated with drug use, by drug type (i.e. whether there has been an increase or a decrease in the perceived risk among the population surveyed, and how this change is related to consumption levels). If there are no studies to evaluate change, please indicate.

B. Observations:

C. Agency and 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.

PURPOSE OF INDICATOR

To estimate the relationship between drugs and crime⁽¹⁾

- A. 1. Does your country have studies that would permit an evaluation of the relationship between drugs and crime?

Y N

2. If the answer is “yes”, please indicate the year of the most recent study carried out in each case:

Study	Year of last study	Coverage	
		National	Partial
Prison population			
Recent arrestees			
Youth in conflict with the law			
Other studies Specify: _____			

3. Please enclose the last study carried out that allows an evaluation of the relationship between drugs and crime or provide its website.

- B. Observations:

C. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ The relationship between drugs and crime in this indicator can be evaluated in at least three areas:

- The perpetration of crimes under the influence of alcohol and other drugs.
- The perpetration of crimes with the intention of obtaining money to finance the consumption of alcohol and other drugs.
- The perpetration of crimes related to the illicit trade of drugs.

16

DRUG-RELATED ACCIDENTS

DRUG USE STATISTICS

PURPOSE OF INDICATOR To evaluate the possible relationship between drug use and accidents

A. 1. Does your country keep records on alcohol- and/or drug-related traffic accidents?

Y

N

2. If the answer is “yes”, please provide the percentage of traffic accidents in 2006, 2007, 2008 and 2009 in which alcohol and/or drugs were a contributing factor:

2006		2007		2008		2009	
Alcohol	Drugs	Alcohol	Drugs	Alcohol	Drugs	Alcohol	Drugs

B. 1. Does your country keep records on alcohol and/or drug-related accidents in the workplace?

Y

N

2. If the answer is “yes”, please provide the percentage of workplace accidents in 2006, 2007, 2008 and 2009 in which alcohol and/or drugs were a contributing factor:

2006		2007		2008		2009	
Alcohol	Drugs	Alcohol	Drugs	Alcohol	Drugs	Alcohol	Drugs

Source: _____

- C. 1. Indicate if there are established guidelines, norms or regulations on prevention activities relating to alcohol and drug-related accidents.

Y

N

2. If the answer is “yes”, please provide the title of the document and annex the document or its respective website.

- D. Observations:

- E. Agency and official providing information:

AREA CULTIVATED AND POTENTIAL PRODUCTION OF RAW MATERIALS AND DRUGS, BY TYPE OF PLANT

DRUG PRODUCTION

PURPOSE OF INDICATOR

Quantification of coca, poppy and cannabis crops, and potential drug production

A. Does your country have significant cultivated areas of coca, poppy and/or cannabis crops?

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

If the answer to question A is “no,” please proceed to question F.

B. 1. Does your country have a system to detect and quantify the total area of coca, poppy and/or cannabis crops?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Coca
b.	<input type="checkbox"/>	<input type="checkbox"/>	Poppy
c.	<input type="checkbox"/>	<input type="checkbox"/>	Cannabis

2. If the answer is “yes”, please provide details about the type of system that is being used, and to which type of crops it applies.

Name of the system	Type of system (Census, Monitoring, Estimation or other)	Type of crop (Coca, poppy, cannabis)	Description

C. What is the total area planted with the following crops? Please answer using hectares⁽¹⁾ as the unit of measure.

Crop	Cultivated area			
	2006	2007	2008	2009
Cannabis				
Coca				
Poppy				

D. 1. Does your country have a system to follow up on the replanting of illicit crops in areas where they were previously eradicated?

Y N

2. If the answer is “yes”, please describe what system is used and what is the estimated percentage of illicit crop replanting.

E. 1. Does your country use a system to measure the potential production of coca, poppy and/or cannabis crops?

Y N

a.

b.

c.

2. If the answer is “yes”, please describe the methodology and formulas used to make this calculation.

3. If the answer is “yes”, please provide the following estimated values:

a. Potential production of raw material⁽²⁾:

Raw material	2006		2007		2008		2009	
	Quantity	Unit of measure	Quantity	Unit of measure	Quantity	Unit of measure	Quantity	Unit of measure
Coca leaf								
Opium gum								

b. Potential drug production⁽³⁾:

Drug	2006		2007		2008		2009	
	Quantity	Unit of measure	Quantity	Unit of measure	Quantity	Unit of measure	Quantity	Unit of measure
Marijuana								
Coca Paste								
Cocaine								
Heroin								

F. 1. Has your country detected marijuana plants grown indoors⁽⁴⁾?

Y

N

2. If the answer is “yes”, please provide the number of marijuana plants grown indoors that were seized⁽⁵⁾ during years 2006 – 2009.

2006		2007		2008		2009	
Quantity	Unit of measure	Quantity	Unit of measure	Quantity	Unit of measure	Quantity	Unit of measure

G. Observations:

H. Agency and official providing information:

Definitions and Explanations

(1) 1 hectare = 2.47 acres

(2) **Potential production of raw material:** is derived from the relationship between the area of cultivated land and the yield or productivity per surface unit. This will determine the quantity of raw material that is obtained from crops in a given amount of time (e.g. 1 year). It is the result of multiplying the yield per hectare, based on the system used by the country.

(3) **Potential drug production:** refers to the amount of illicit drug of natural origin in its final form that can be produced from a given area under cultivation during the course of a year, taking into account the quantity of raw material required to produce a single unit of drug (e.g. one kilogram), average number of plants cultivated in the area, yield per plant, number of harvests per year and other relevant factors. The formulas used for calculating production capacity will vary from country to country and should be clearly described in the response.

(4) **Plants grown indoors** refers to the illicit cultivation of plants in buildings, garages and houses. This refers to marijuana cultivation since it is almost impossible to cultivate coca leaf or poppy indoors.

(5) **Seized plants** refers to illicit plants cultivated indoors, seized by police or other agency authorized to participate in operations against indoor cultivation.

PROGRAMS FOR THE ERADICATION OR ABANDONMENT OF ILLICIT COCA, POPPY AND CANNABIS CROPS

DRUG PRODUCTION

PURPOSE OF INDICATOR

To determine the existence of a program to reduce illicit coca, poppy and cannabis crops and/or production, and its results

A. Does your country have a formal crop eradication program?

	Y	N	
1.	<input type="checkbox"/>	<input type="checkbox"/>	Coca
2.	<input type="checkbox"/>	<input type="checkbox"/>	Poppy
3.	<input type="checkbox"/>	<input type="checkbox"/>	Cannabis

B. Please indicate the forms of eradication used in your country.

Coca crops		
Component	Yes	No
Aerial spraying		
Forced manual eradication		
Voluntary manual eradication		

Poppy crops		
Component	Yes	No
Aerial spraying		
Forced manual eradication		
Voluntary manual eradication		

Cannabis crops		
Component	Yes	No
Aerial spraying		
Forced manual eradication		
Voluntary manual eradication		

C. Indicate the total area of illicit crops eradicated ⁽¹⁾ or abandoned ⁽²⁾ during the years 2006–2009. Please answer using hectares ⁽³⁾ as the unit of measure.

Plant	Areas no longer cultivated - 2006				Total
	Abandoned	Sprayed	Manual Eradication		
			Forced	Voluntary	
Cannabis					
Coca					
Poppy					

Plant	Areas no longer cultivated - 2007				Total
	Abandoned	Sprayed	Manual Eradication		
			Forced	Voluntary	
Cannabis					
Coca					
Poppy					

Plant	Areas no longer cultivated - 2008				Total
	Abandoned	Sprayed	Manual Eradication		
			Forced	Voluntary	
Cannabis					
Coca					
Poppy					

Plant	Areas no longer cultivated - 2009				Total
	Abandoned	Sprayed	Manual Eradication		
			Forced	Voluntary	
Cannabis					
Coca					
Poppy					

D. Observations:

E. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Total area eradicated:** this is the net area of crops destroyed. It is understood that different means can be used to reduce cultivation, based on national policies and programs. This can include manual eradication, fumigation or voluntary eradication agreements.

⁽²⁾ **Abandonment:** refers to the act of voluntarily giving up or discontinuing the cultivation of illicit crops for one or more years.

⁽³⁾ 1 Hectare = 2.47 acres.

ILLICIT DRUG LABORATORIES DISMANTLED BY YEAR

DRUG PRODUCTION

PURPOSE OF INDICATOR

To determine the number of illicit laboratories producing drugs

- A. 1. Please indicate if illicit laboratories for drugs of natural origin⁽¹⁾ have been found in your country.

Y N

2. If the answer is “yes”, please indicate how many illicit laboratories for drugs of natural origin were dismantled in your country during the years 2006–2009, by drug type.

Illicit Drug	Number of illicit laboratories dismantled			
	2006	2007	2008	2009
a. Cocaine HCL ⁽²⁾				
b. Crack				
c. Other substances that contain cocaine** specify: _____				
d. Heroin				
e. Hashish				
f. Hashish oil				
g. Others (specify):				

** Includes coca paste, cocaine paste, cocaine base, *basuco*, *paco*, *merla*, among other denominations, depending on the terms used by the country.

- B. 1. Please indicate if illicit laboratories for drugs of synthetic origin⁽³⁾ have been found in your country.

Y N

2. If the answer is “yes”, please indicate how many illicit laboratories for drugs of synthetic origin were dismantled in your country during the years 2006–2009, by drug type.

Illicit Drug	Number of illicit laboratories dismantled			
	2006	2007	2008	2009
a. LSD				
b. MDMA (ecstasy and its derivatives)				
c. Amphetamines				
d. Methamphetamines				
e. Ketamine				
f. GHB				
g. Others (specify):				

C. Observations:

D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Illicit laboratories for drugs of natural origin:** refers to facilities or locations where drugs are produced, manufactured, diluted, mixed or otherwise prepared (including maceration pits). These drugs include organic-based substances such as cocaine, heroin, hashish etc.

⁽²⁾ **Cocaine Hydrochloride:** This is the drug produced from the washed coca paste, which has been put through a dissolving and crystallizing process through the use of acetone and hydrochloric acid.

⁽³⁾ **Illicit laboratories for drugs of synthetic origin:** refers to facilities or locations where drugs are produced, manufactured, diluted or mixed or otherwise prepared. These drugs include synthetic drugs such as amphetamine-like stimulants, methamphetamine and “designer drugs”.

EXISTENCE AND CHARACTERISTICS OF ALTERNATIVE, INTEGRAL AND SUSTAINABLE DEVELOPMENT PROGRAMS

ALTERNATIVE, INTEGRAL AND SUSTAINABLE DEVELOPMENT

PURPOSE OF INDICATOR **To determine the existence and composition of alternative, integral and sustainable development programs.**

A. Does your country have the conditions to carry out alternative, integral and sustainable development?⁽¹⁾

Y N

--	--

B. 1. Is your country carrying out alternative, integral and sustainable development activities or programs within the context of the fight against drugs?

Y N

--	--

If the answer is “no,” please proceed to the Observations section, or to Indicator 22.

2. If the answer is “yes,” please list the programs carried out in your country during the years 2006–2009, and the components that they include.

a. Names of programs and duration:

Program Name	Duration (starting / ending years)

- b. Names of programs and components that they include (mark the appropriate components with an “X”):

Name of the program	IS	SO	SP	EM	SI	EI	SC	MA	Others (specify)

Table of components	
IS	Involvement of stakeholders ⁽²⁾
SO	Strengthening of organizations ⁽³⁾
SP	Support for production activities ⁽⁴⁾
EM	Environmental management ⁽⁵⁾
SI	Social infrastructure ⁽⁶⁾
EI	Economic infrastructure ⁽⁷⁾
SC	Strengthening of social capital ⁽⁸⁾
MA	Market access ⁽⁹⁾

3. Please provide a brief description of the programs mentioned above.

- C. Observations:

- D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Alternative, integral and sustainable development programs:** refers to the promotion of activities that contribute to the creation of favorable conditions for the development of licit and sustainable economies and the improvement of quality of life and human development in harmony with the environment, by reducing and/or preventing illicit crop cultivation, and by obtaining cooperation from the public and private sectors, regional and local organizations, and society in general.

⁽²⁾ **Involvement of stakeholders:** refers to the actions executed by the different development programs of the central, regional and local governments, as well as new development agents (producer organizations, NGOs, universities, research centers, the church, etc.) to obtain their commitment to and participation in the development of areas with coca, poppy and cannabis crops.

- (3) **Strengthening of organizations:** are activities oriented towards strengthening the management of organizations related to alternative, integral and sustainable development, through training, counseling, guidance and technical assistance, so that they can improve their associative, technical, administrative, operational and economic processes.
- (4) **Support for production activities:** consists of the promotion of production and mass-impact service alternatives, in order to establish new economic specializations in areas with coca, poppy and cannabis crops. It also includes support for the development of medium to large scale agro-industrial alternatives that gather and transform the production from these areas.
- (5) **Environmental management:** refers to the inclusion, as key components in alternative, integral and sustainable development programs, of environmental preservation issues, and restoration of ecosystems that were degraded as a result of the cultivation of coca, poppy and cannabis used for illicit purposes. These actions are carried out through reforestation programs, the collection of data on environmental degradation, and the promotion of regular environmental education programs in education centers, among other activities.
- (6) **Social infrastructure:** refers to infrastructure works that allow the population to receive basic services, such as education, health, water and sewage, electricity, and local roads.
- (7) **Economic infrastructure:** refers to infrastructure works to promote transportation, energy and communication services, such as bridges, highways, irrigation works, etc.
- (8) **Strengthening of social capital:** refers to actions geared towards increasing the degree of political participation among civil society.
- (9) **Market access:** refers to actions geared towards facilitating and increasing the national and international marketing of the alternative, integral and sustainable products.

MEASUREMENT AND MONITORING OF THE IMPACT OF ALTERNATIVE, INTEGRAL AND SUSTAINABLE DEVELOPMENT PROGRAMS

ALTERNATIVE, INTEGRAL AND SUSTAINABLE DEVELOPMENT

PURPOSE OF INDICATOR

Measure the progress and impact of alternative, integral and sustainable development programs

- A. 1. Does your country have a mechanism or internal system to evaluate the progress and/or impact of alternative, integral and sustainable development programs⁽¹⁾, within the context of the fight against drugs?

Y N

If the answer is “no”, please proceed to the next indicator.

2. If the answer is “yes”, please explain the key indicators⁽²⁾ utilized to evaluate the progress and/or impact of the programs.

- B. 1. What results did the programs reported in Indicator 20 have in your country’s population during the years 2006–2009?

	Impact	2006	2007	2008	2009
a.	Estimated number of families that live in coca, poppy and cannabis crop production zones				
b.	Estimated number of families that cultivate coca, poppy and cannabis crops				
c.	Total number of families benefiting from alternative, integral and sustainable development programs				
	1. Number of these families which perform agricultural activities				
	2. Number of these families which perform non-agricultural activities				
d.	Number of workdays ⁽³⁾ generated by alternative, integral and sustainable development programs				
e.	Average increase in beneficiaries’ per capita income (in US\$)				
f.	Gross value of the products ⁽⁴⁾ generated by alternative, integral and sustainable development programs (in US\$)				

2. Please provide details on the infrastructure results⁽⁵⁾ derived from the programs reported in Indicator 20.

- C. Please indicate the measures your country is taking to mitigate the environmental impact of coca, poppy and cannabis cultivation.

- D. Observations:

- E. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Alternative, integral and sustainable development programs:** refers to the promotion of activities that contribute to the creation of favorable conditions for the development of licit and sustainable economies and the improvement of quality of life and human development in harmony with the environment, by reducing and/or preventing illicit crop cultivation, and by obtaining cooperation from the public and private sectors, regional and local organizations, and society in general.

⁽²⁾ **Key indicators:** refers to the main parameters used to measure or compare the results obtained in the execution of a project, program or activity, with the objective of establishing a result based on a quantitative variation through time. They are usually represented by statistical data (percentages, ratios, etc) with the purpose of synthesizing the information that is provided by the different variables that reflect the situation that is being analyzed.

⁽³⁾ **Workday:** refers to paid work for a person for one day of labor (the unit of measure is expressed in work days).

⁽⁴⁾ **Gross value of products:** is obtained from multiplying the number of hectares in each cultivation parcel by the yield per hectare, multiplied by the sale price and by the percentage that is destined for the market. It is the amount of agricultural products sold.

⁽⁵⁾ **Infrastructure results:** refers to the work done in social infrastructure (e.g. basic services, community roads, schools, hospitals, etc.) and / or economic infrastructure (e.g. bridges, highways, roads, electricity and interconnection systems, irrigation channels, etc.) as a result of alternative, integral and sustainable development programs

PURPOSE OF INDICATOR

To assess measures to prevent diversion⁽¹⁾ of pharmaceutical products

- A. 1. Does your country have laws and/or regulations of national scope in place for the control of pharmaceutical products⁽²⁾, in accordance with international conventions?

Y N

Y	N
---	---

2. If the answer is “yes”, please provide the following details:

Title	Type (law, decree, resolution, disposition etc.)	Date of entry into force

- B. Which pharmaceutical products listed in the international conventions are not controlled in your country?

- C. Which pharmaceutical products that are not listed in the international conventions are controlled by your country?

- D. Indicate which are the competent authorities responsible for coordinating activities related to the control of pharmaceutical products.

E. Which of the following actions does your country carry out to control pharmaceutical products and prevent their diversion?

1. Health Care sector⁽³⁾

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Register control ⁽⁴⁾
b.	<input type="checkbox"/>	<input type="checkbox"/>	Monitoring distribution (e.g. purchase and prescription by health care professionals, purchases by pharmacies and hospitals)
c.	<input type="checkbox"/>	<input type="checkbox"/>	Control and monitoring of prescriptions
d.	<input type="checkbox"/>	<input type="checkbox"/>	Inspections ⁽⁵⁾
e.	<input type="checkbox"/>	<input type="checkbox"/>	Administrative sanctions ⁽⁶⁾
f.	<input type="checkbox"/>	<input type="checkbox"/>	Transfer of unusual cases detected by administrative authorities to judicial authorities
g.	<input type="checkbox"/> Other (specify)		<input type="text"/>

2. Private Sector⁽⁷⁾

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Import/export control
b.	<input type="checkbox"/>	<input type="checkbox"/>	Register control ⁽⁴⁾
c.	<input type="checkbox"/>	<input type="checkbox"/>	Manufacturing control
d.	<input type="checkbox"/>	<input type="checkbox"/>	Monitoring distribution (sales from wholesalers to retailers)
e.	<input type="checkbox"/>	<input type="checkbox"/>	Inspections ⁽⁵⁾

- f. Administrative sanctions⁽⁶⁾
- g. Registry of Licensees⁽⁸⁾
- h. Registry of quantities of pharmaceutical products sold or manufactured
- i. Free trade zone control
- j. Other (specify)

F. 1. Does your country have an integrated procedure⁽⁹⁾ in place to monitor and prevent the diversion of pharmaceutical products, whose formula contains one or more controlled substances, in accordance with relevant international conventions?

Y

N

2. If the answer is “yes”, please explain how it operates.

3. If the answer is “no”, please indicate which are the main difficulties in establishing such a procedure.

G. 1. Does your country have in place a regulatory or administrative system for the control of pharmaceutical products that includes inspectors and/or investigators?

Y

N

2. If yes, how many inspectors and/or investigators do you have for this purpose?

- H. 1. Does your country have mechanisms or means through which members of the health sector can communicate and share information with law enforcement or judicial authorities in order to report or prevent the diversion of pharmaceutical products and/or to apply sanctions?

Y N

Y	N
---	---

2. If the answer is “yes”, please provide details.

- I. Administrative and regulatory activities per year:

1. Does your country have a system to compile information on administrative and regulatory activities related to controlled pharmaceutical products and sanctions imposed in connection with them?

Y N

Y	N
---	---

2. If the answer is “yes”, please complete the following table:

	2006	2007	2008	2009
Regulated Activities				
a. Number of licenses issued to:				
1. Importers				
2. Exporters				
3. Manufacturers				
4. Distributors				
5. Other				
b. Number of permits issued for:				
1. Importation				
2. Exportation				
3. Other				
Regulated Entities				
c. Number of inspections conducted of:				
1. Physicians				
2. Dentists				
3. Pharmacists				
4. Veterinarians				
5. Importers				
6. Exporters				
7. Manufacturers				
8. Distributors				
9. Others (specify)				

3. If the answer (to question I.1) is “no”, is implementation of such systems anticipated and, if so, when?

- J. 1. Does your country offer training courses for personnel in the public and private sector involved in the handling of pharmaceutical products?

Y N

2. If the answer is “yes”, please provide the following details about each of the courses that were carried out: type of course, general subject, frequency, number of trainees, and participating entities.

3. Do these training courses satisfy the demand for training in your country? (eg. scope of subjects covered, number of participants that can attend, etc.)

Y N

- K. 1. Does your country have in place any automated information management systems to facilitate the control of pharmaceutical products?

Y N

2. If “yes”, please provide details:

- L. What major problems or impediments have been encountered by national entities in effectively fulfilling their control responsibilities, and what has your country done to address them?

M. Observations:

N. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Diversion:** refers to actions taken to move pharmaceutical products to illicit distribution channels for non-medical or scientific purposes. This includes forgery (prescriptions, purchases), theft, multiple prescriptions, pilfering, armed robbery, prescribing for non-medical purposes, and self-medication by health professionals, among others.

⁽²⁾ **Pharmaceutical products** are those that contain substances defined in the U.N. Convention of 1961, as amended in 1972, 1971 and 1988 that are legally destined for medical, scientific, and veterinary use. Such products include those of a single basic compound or “raw material” and formulations containing more than one active principle.

⁽³⁾ **Health sector:** refers to the entities that participate in the pharmaceutical product distribution chain related to legitimate end use of these products for medical or scientific purposes. This includes practitioners (medical, dental, and veterinarians), pharmacists, pharmacies, nurses, hospitals and veterinary clinics, among others.

⁽⁴⁾ **Register control:** This refers to [the administrative act through which the competent or regulatory authority allows for a person or corporation to produce or sell a pharmaceutical product. The competent health authorities will issue sanitary registers when the applicant fulfills all the requirements, as indicated in the applicable norms, and pays for any rights, as established in the country’s legislation. The health authority establishes the pre-requisites, tests and other requirements that the pharmaceutical products must meet. This register is unique for each product and gives it a legal identity that will guarantee that the use of the product is safe and effective.](#)

⁽⁵⁾ **Inspections** include activities such as site visits and audits that are part of a monitoring activity intended to produce compliance with regulations applicable to the control of narcotic and psychotropic substances, in accordance with international conventions.

⁽⁶⁾ **Administrative sanctions** are penalties applied to cases of regulatory noncompliance related to the use or distribution of pharmaceutical products. May include restriction or removal of privileges to buy, sell, use or otherwise transact business with pharmaceutical products.

⁽⁷⁾ **Private sector:** refers to the companies and entities that manufacture and distribute pharmaceutical products. This includes drug manufacturers, wholesalers, drug laboratories, transport companies, importers and exporters, among others.

⁽⁸⁾ **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.

⁽⁹⁾ **Integrated procedure** refers to a series of coordinated actions between the competent authorities responsible for controlling the licit use and preventing and/or detecting the diversion of pharmaceutical products, and the controlled

subjects or entities. For the purposes of this indicator, the relevant institutions include health professionals⁽¹⁰⁾, customs, entities (importers, exporters, manufacturers, distributors, etc.) and health establishments authorized to handle these products.

⁽¹⁰⁾ **Health Professionals** generally include pharmacists, physicians, dentists, nurses and veterinarians.

NATIONAL LAWS AND/OR REGULATIONS FOR PENAL, CIVIL AND ADMINISTRATIVE SANCTIONS AGAINST THE DIVERSION OF PHARMACEUTICAL PRODUCTS

CONTROL OF PHARMACEUTICAL PRODUCTS

PURPOSE OF INDICATOR

To determine the laws and regulations to prevent the diversion of pharmaceutical products used in illicit drug manufacture

- A. 1. Does your country make provision in national laws and/or regulations for penal, civil and/or administrative sanctions against the illicit production, diversion⁽¹⁾, and illicit trafficking of pharmaceutical products⁽²⁾?

National laws and/or regulations	Penal sanctions ⁽³⁾		Civil sanctions ⁽⁴⁾		Administrative sanctions ⁽⁵⁾	
	Yes	No	Yes	Yes	No	Yes
Against illicit production						
Against diversion						
Against illicit trafficking						

2. Please indicate what penal sanctions are applicable in your country with respect to the illicit production, diversion, and trafficking of pharmaceutical products.

a. Illicit production:

b. Diversion:

c. Illicit Trafficking:

- B. Please indicate the number of times that sanctions were applied during the years 2006–2009 under your national laws and/or regulations by type (penal, civil, administrative).

Type of sanction	Number of sanctions			
	2006	2007	2008	2009
Penal				
Civil				
Administrative				

- C. Observations:

- D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Diversion:** refers to actions taken to move pharmaceutical products to illicit distribution channels for non-medical or scientific purposes. This includes forgery (prescriptions, purchases), theft, multiple prescriptions, pilfering, armed robbery, prescribing for non medical purposes, and self medication by health professionals, among others.

⁽²⁾ **Pharmaceutical products** are those that contain substances defined in the U.N. Convention of 1961, as amended in 1972, 1971 and 1988 that are legally distributed for medical, scientific, and veterinary use. Such products include those of a single basic compound or “raw material” and formulations containing such drugs.

⁽³⁾ **Penal sanctions** are sanctions imposed by a court related to the commission of a criminal offense. Courts can have broad, but not unlimited discretion in the application of such sanctions. The nature of the sanctions usually, but not always, consists of a deprivation of liberty (full incarceration, house arrest, supervision, or other conditional restrictions on an individual’s liberty) and can also include a monetary penalty, such as a fine or the removal of a license or right. The latter type of penal sanctions in some jurisdictions are often imposed on “legal” persons (e.g. companies), entities that it makes no sense to punish by imprisonment. At the same time, however, company directors, officers and employees could be subject to penal sanctions that provide for imprisonment. In some other jurisdictions, monetary sanctions against legal entities are applied by way of administrative sanctions imposed by regulatory or supervisory agencies.

⁽⁴⁾ **Civil sanctions** are sanctions imposed by a court that relate to civil actions, such as the commission of a wrongful act, often awarded to one person against another, under a civil code or other laws (but not pursuant to criminal offenses) or for failure to comply with that code or those laws, the purpose of which is to secure a civil indemnity (damages), reparation or payment of a monetary penalty. Civil actions proceed independently of criminal prosecutions. Civil sanctions can vary significantly in the awarding of damages, especially when juries are involved in the determination of the sanction.

⁽⁵⁾ **Administrative sanctions** are sanctions imposed by an administrative tribunal or some other administrative control body against persons (including “legal” persons) who fail to comply with directives, regulations and other norms imposed by certain agencies of the state. The sanctions are largely regulatory in nature and can consist of prescribed financial penalties as well as the suspension or revocation of licenses, permits and other rights.

SEIZED PHARMACEUTICAL PRODUCTS, BY NUMBER AND QUANTITIES, AND DISPOSED OF BY SUBSTANCE, QUANTITY AND YEAR

CONTROL OF PHARMACEUTICAL PRODUCTS

PURPOSE OF INDICATOR

To determine the volumes of seizures in cases of diversion of pharmaceutical products

A. How many seizures⁽¹⁾ involving pharmaceutical products⁽²⁾ were made during the years 2006–2009, and what volumes/quantities did this involve?

1. Number of seizures

Pharmaceutical products	Number of seizures			
	2006	2007	2008	2009
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2. Quantities seized

2006				
Pharmaceutical products	Quantities seized			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2007				
Pharmaceutical products	Quantities seized			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2008				
Pharmaceutical products	Quantities seized			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2009				
Pharmaceutical products	Quantities seized			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

- B. 1. Which confiscated pharmaceutical products were disposed of⁽³⁾ during the years 2006-2009 and what volumes/quantities did this involve?

2006				
Pharmaceutical products	Quantities disposed of			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2007				
Pharmaceutical products	Quantities disposed of			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2008				
Pharmaceutical products	Quantities disposed of			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2009				
Pharmaceutical products	Quantities disposed of			
	Tablets / capsules	Liquid (liters)	Powder (kilograms)	Injectables (liters)
Oxycodone				
Hydrocodone				
Hydromorphone				
Pentazocine				
Codeine				
Propoxyphene				
Meperidine				
Methylphenidate				
Dextroamphetamine				
Diazepam				
Oxazepam				
Flurazepam				
Alprazolam				
Estazolam				
Others (specify)				
Total				

2. Please specify which methods are used for the final disposition of confiscated pharmaceutical products.

- C. Observations:

- D. Agency and 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 on the basis of an order issued by a court or other competent authority. (Definition taken from the United Nations Convention against Transnational Organized Crime).

⁽²⁾ **Pharmaceutical products** are those that contain substances defined in the U.N. Conventions 1961 (as amended in 1972), 1971 and 1988 that are legally distributed for medical, scientific, and veterinary use. Such products include those of a single basic compound or “raw material” and formulations containing such drugs.

⁽³⁾ **Disposed of** includes sale (where permitted) and destruction or otherwise rendering unusable (e.g. 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.

MECHANISM FOR THE CONTROL OF THE DIVERSION OF CHEMICAL SUBSTANCES

CONTROL OF CHEMICAL SUBSTANCES

PURPOSE OF INDICATOR

To determine the scope of the internal mechanism for the control of the diversion⁽¹⁾ of controlled chemical substances

- A. 1. Does your country have laws and regulations of national scope in place for the control of chemical substances⁽²⁾, in accordance with international conventions?

Y

N

2. If the answer is “yes”, please provide the following details:

Title	Type (law, decree, resolution, disposition etc.)	Date of entry into force

- B. Which controlled chemical substances listed in the international conventions are not controlled by your country?

- C. Which chemical substances that are not listed in the international conventions are controlled by your country?

- D. 1. Does your country have mechanisms or means through which the institutions responsible for preventing and/or imposing sanctions for the diversion of controlled chemical substances can communicate and share information?

Y

N

2. If the answer is "yes", please provide details.

E. Which national authorities are responsible for law and regulation enforcement for the control of chemical substances?

1. Administrative (specify)

2. Judicial (specify)

3. Customs (specify)

4. Others (specify)

F. Please identify actions carried out by your country to control the diversion of chemical substances:

	Y	N		Responsible Entity
1.	<input type="checkbox"/>	<input type="checkbox"/>	National registry of licensees ⁽³⁾	
2.	<input type="checkbox"/>	<input type="checkbox"/>	License control (manufacture, distribution)	
3.	<input type="checkbox"/>	<input type="checkbox"/>	Import/export control	
4.	<input type="checkbox"/>	<input type="checkbox"/>	Inspections ⁽⁴⁾	

5.	<input type="checkbox"/>	<input type="checkbox"/>	Transaction audits ⁽⁵⁾	
6.	<input type="checkbox"/>	<input type="checkbox"/>	Control of distribution	
7.	<input type="checkbox"/>	<input type="checkbox"/>	Control of the final commercialization	
8.	<input type="checkbox"/>	<input type="checkbox"/>	Transport control ⁽⁶⁾	
9.	<input type="checkbox"/>	<input type="checkbox"/>	Pre-export notifications ⁽⁷⁾	
10.	<input type="checkbox"/>	<input type="checkbox"/>	Imposition of sanctions ⁽⁸⁾	
11.	<input type="checkbox"/>		Other (specify)	

G. 1. Are these actions carried out as part of an integrated procedure⁽⁹⁾ that is applicable to individuals and entities (importers, exporters, manufacturers, distributors, etc.) authorized to handle these substances?

Y N

2. If the answer is "yes", please explain how it operates.

3. If the answer is "no", please indicate which are the main difficulties in establishing such a procedure.

H. 1. Does your country have in place a regulatory or administrative system for the control of chemical substances that includes inspectors and/or investigators?

Y N

2. If yes, how many inspectors and investigators do you have for this purpose?

I. 1. In your country, do you offer training courses for administrative, police and customs officers in the control of the diversion of chemical substances?

Y

N

2. If the answer is “yes”, please provide the follow details about each of the courses that were carried out: type of course, general subject, frequency, number of trainees, and participating entities.

3. Do these training courses satisfy the demand for training in your country? (e.g. scope of subjects covered, number of participants that can attend, etc.)

Y

N

4. If the answer is “no”, please explain what your country needs in order to satisfy the demand.

J. 1. Does your country have automated information management systems in place to facilitate the secure and efficient handling of information on the control of the diversion of chemical substances?

Y

N

2. If the answer is “yes”, please provide details

K. What major problems or impediments have been encountered in the control of the diversion of chemical substances, and what has your country done to address them?

L. Observations:

M. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Diversion:** refers to actions taken to secure quantities of these chemicals from legitimate distribution channels for use in the production of illicit drugs. This could involve theft, misrepresentation, falsification of records or shipping labels, and other forgeries, among others.

⁽²⁾ **Controlled chemical substances** means chemical substances contained in Tables I and II of the United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 as well as those chemical substances controlled by the reporting country and listed in CICAD's Model Regulations and other substances not included in said Model Regulations. Such substances include chemical products containing a single basic compound or "raw material" and products containing combinations of chemical substances.

⁽³⁾ **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.

⁽⁴⁾ **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.

⁽⁵⁾ **Transaction audits** refers to activities that are carried out to verify and document on-site, every transaction made by persons authorized to import, export, produce, sell and transport controlled substances, during a set period of time.

⁽⁶⁾ **Transport control** is a system or set of procedures used 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.

⁽⁷⁾ **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 to exchange information between agencies responsible for the control of chemicals, to identify potential problem shipments and to provide advance notice of shipments for administrative, investigational and operational purposes.

⁽⁸⁾ **Sanctions** are penalties applied to cases of regulatory noncompliance related to the use or distribution of controlled chemical substances. May include restriction or removal of privileges to buy, sell, use or otherwise transact business with controlled chemical substances.

⁽⁹⁾ **Integrated procedure** refers to a series of coordinated actions between the competent authorities responsible for controlling the licit use and preventing and/or detecting the diversion of controlled chemical substances, and the subjects or entities under control.

NATIONAL LAWS AND/OR REGULATIONS FOR PENAL, CIVIL AND ADMINISTRATIVE SANCTIONS AGAINST THE DIVERSION OF CONTROLLED CHEMICAL SUBSTANCES

CONTROL OF CHEMICAL SUBSTANCES

PURPOSE OF INDICATOR

To determine the laws and regulations to prevent the diversion of controlled chemical substances used in illicit drug manufacture

- A. 1. Does your country make provision in national laws and/or regulations for penal, civil and/or administrative sanctions against the illicit production, diversion⁽¹⁾, and illicit trafficking of controlled chemical substances⁽²⁾ in accordance with international conventions?

National laws and/or regulations	Penal sanctions ⁽³⁾		Civil sanctions ⁽⁴⁾		Administrative sanctions ⁽⁵⁾	
	Yes	No	Yes	Yes	Yes	No
Against illicit production						
Against diversion						
Against illicit trafficking						

2. Please indicate what penal sanctions are applicable in your country with respect to the illicit production, diversion, and trafficking of controlled chemical substances.

a. Illicit Production:

b. Diversion:

c. Illicit Trafficking:

- B. Please indicate the number of times that sanctions were applied during the years 2006–2009 under your national laws and/or regulations by type (penal, civil, administrative).

Type of sanction	Number of sanctions			
	2006	2007	2008	2009
Penal				
Civil				
Administrative				

- C. Observations:

- D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Diversion:** refers to actions taken to secure quantities of these chemicals from legitimate distribution channels for use in the production of illicit drugs. This could involve theft, misrepresentation, falsification of records or shipping labels and other subterfuge, among others.

⁽²⁾ **Controlled chemical substances** means chemical substances contained in Tables I and II of the United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 as well as those chemical substances controlled by the reporting country and listed in CICAD's Model Regulations and other substances not included in said Model Regulations. Such substances include chemical products containing a single basic compound or "raw material" and products containing combinations of chemical substances.

⁽³⁾ **Penal sanctions** are sanctions imposed by a court related to the commission of a criminal offense. Courts can have broad, but not unlimited discretion in the application of such sanctions. The nature of the sanctions usually, but not always, consists of a deprivation of liberty (full incarceration, house arrest, supervision, or other conditional restrictions on an individual's liberty) and can also include a monetary penalty, such as a fine or the removal of a license or right. The latter type of penal sanctions in some jurisdictions are often imposed on "legal" persons (e.g. companies), entities that it makes no sense to punish by imprisonment. At the same time, however, company directors, officers and employees could be subject to penal sanctions that provide for imprisonment. In some other jurisdictions, monetary sanctions against legal entities are applied by way of administrative sanctions imposed by regulatory or supervisory agencies.

⁽⁴⁾ **Civil sanctions** are sanctions imposed by a court that relate to civil actions, such as the commission of a wrongful act, often awarded to one person against another, under a civil code or other laws (but not pursuant to criminal offenses) or for failure to comply with that code or those laws, the purpose of which is to secure a civil indemnity (damages), reparation or payment of a monetary penalty. Civil actions proceed independently of criminal prosecutions. Civil sanctions can vary significantly in the awarding of damages, especially when juries are involved in the determination of the sanction.

⁽⁵⁾ **Administrative sanctions** are sanctions imposed by an administrative tribunal or some other administrative control body against persons (including "legal" persons) who fail to comply with directives, regulations and other norms imposed by certain agencies of the state. The sanctions are largely regulatory in nature and can consist of prescribed financial penalties as well as the suspension or revocation of licenses, permits and other rights.

NUMBER OF PRE-EXPORT (RE-EXPORT) NOTIFICATIONS FOR CONTROLLED CHEMICAL SUBSTANCES, BY YEAR, SENT BY THE COMPETENT AUTHORITY OF THE EXPORTING OR TRANSIT COUNTRY

CONTROL OF CHEMICAL SUBSTANCES

PURPOSE OF INDICATOR

To determine effectiveness in preventing diversion of controlled chemical substances used for the illicit manufacture of drugs

- A. 1. Does your country export chemical substances or handle these substances in transit?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Export
b.	<input type="checkbox"/>	<input type="checkbox"/>	In transit

2. If the answer is "yes", in either case above, please continue with the questions in this Indicator. If in both cases above the answer is "no", please proceed to the next Indicator.

- B. 1. Please indicate how many exports of controlled chemical substances⁽¹⁾ were made by your country during years 2006–2009:

Importing / transshipment countries	Number of controlled chemical substance exports made			
	2006	2007	2008	2009
Total				

2. Please indicate how many pre-export notifications⁽²⁾ for controlled chemical substances your country issued during the years 2006–2009 to countries importing or transshipping these chemicals.

Importing / transshipment countries	Number of pre-export notifications issued			
	2006	2007	2008	2009
Total				

3. If the total number of controlled chemical substance exports made is different from the total number of pre-export notifications that were issued, please indicate the reasons for this difference.

- C. What number of the pre-export notifications sent by your country in the years 2006–2009 were not approved by the importing or transit countries?

Number of Pre-export Notifications Rejected by the Importing or Transit Countries			
2006	2007	2008	2009

- D. Observations:

- E. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Controlled chemical substances** means chemical substances contained in Tables I and II of the United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 as well as those chemical substances controlled by the reporting country and listed in CICAD's Model Regulations and other substances not included in said Model Regulations. Such substances include chemical products containing a single basic compound or "raw material" and products containing combinations of chemical substances.

⁽²⁾ **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 to exchange information between agencies responsible for the control of chemicals, to identify potential problem shipments and to provide advance notice of shipments for administrative, investigational and operational purposes.

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

CONTROL OF CHEMICAL SUBSTANCES

PURPOSE OF INDICATOR

To determine effectiveness in preventing diversion of controlled chemical substances used for the illicit manufacture of drugs

- A. 1. Does your country import chemical substances or handle these substances in transit?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Import
b.	<input type="checkbox"/>	<input type="checkbox"/>	In transit

2. If the answer is “yes” in either case above, please continue with the questions in this Indicator. If in both cases above the answer is “no”, please proceed to the next Indicator.

- B. 1. Please indicate how many controlled chemical substance imports your country received during years 2006 – 2009.

Year	Number of controlled chemical substance imports
2006	
2007	
2008	
2009	

2. How many pre-export notifications ⁽¹⁾ for controlled chemical substances ⁽²⁾ did your country receive in the years 2006–2009, and what number did you respond to in a timely manner?

	2006	2007	2008	2009
Number of pre-export notifications received by your country				
Number of responses sent by your country				
Number of timely replies sent by your country (maximum of 15 days)				

3. If the total number of controlled chemical substance imports is different from the total number of pre-export notifications received, please indicate the reasons for this difference.

- C. What number of responses to pre-export notifications received by your country from exporting countries in the years 2006–2009 were not approved or resulted in an investigation in your country?

	2006	2007	2008	2009
Number of pre-export notifications not approved by your country				
Number of investigations initiated by your country				

- D. 1. Does your country have a computerized information system or software such as the UNODC National Drug Control System (NDS) or Pre-Export Notification System (PENS) or a similar system to process pre-export notifications?

Y N

2. If the answer is “yes”, please provide details.

- E. Observations:

- F. Agency and official providing information:

Definitions and 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 to exchange information between agencies responsible for the control of chemicals, to identify potential problem shipments and to provide advance notice of shipments for administrative, investigational and operational purposes.

(2) **Controlled chemical substances** means chemical substances contained in Tables I and II of the United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 as well as those chemical substances controlled by the reporting country and listed in CICAD's Model Regulations and other substances not included in said Model Regulations. Such substances include chemical products containing a single basic compound or "raw material" and products containing combinations of chemical substances.

CONTROLLED CHEMICAL SUBSTANCES SEIZED, BY NUMBER AND QUANTITY, AND DISPOSED OF BY SUBSTANCE, QUANTITY AND YEAR

CONTROL OF CHEMICAL SUBSTANCES

PURPOSE OF INDICATOR

To determine the volumes of seizures in cases of diversion of chemical substances

A. How many seizures⁽¹⁾ involving controlled chemical substances⁽²⁾ were made during the years 2006–2009, and what volumes/quantities did this involve?

1. Number of seizures

Controlled chemical substances	Number of seizures			
	2006	2007	2008	2009

2. Quantities seized

Controlled chemical substances	Unit of measure (kilos, metric tons, liters, etc.)	Quantities seized			
		2006	2007	2008	2009

- B. 1. Do the competent authorities in your country share information amongst themselves on the volume of seizures and confiscations in cases of the diversion of controlled chemical substances?

Y N

2. If the answer is “yes”, please specify the mechanism used in this regard.

- C. 1. Which confiscated controlled chemical substances were disposed⁽³⁾ of during the years 2006–2009, and what volumes/quantities did this involve?

Controlled chemical substances	Unit of measure (kilos, metric tons, liters, etc.)	Quantities disposed of			
		2006	2007	2008	2009

2. Please specify which methods are used for the final disposition of confiscated controlled chemical substances.

- D. Observations:

- E. Agency and 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 on the basis of an order issued by a court or other competent authority (Definition taken from the United Nations Convention against Transnational Organized Crime).

⁽²⁾ **Controlled chemical substances** means chemical substances contained in Tables I and II of the United Nations Convention Against Illicit Traffic in Narcotic Drugs and Psychotropic Substances, 1988 as well as those chemical substances controlled by the reporting country and listed in CICAD's Model Regulations and other substances not included in said Model Regulations. Such substances include chemical products containing a single basic compound or "raw material" and products containing combinations of chemical substances.

⁽³⁾ **Disposed of** includes sale (where permitted) and destruction or otherwise rendering unusable (e.g. 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.

QUANTITY OF ILLICIT DRUGS AND RAW MATERIALS FOR THEIR PRODUCTION FORFEITED TO LAW ENFORCEMENT AGENCIES

ILLICIT DRUG TRAFFICKING

**PURPOSE OF
INDICATOR**

To determine forfeitures made in connection with illicit drug trafficking

- A. Please indicate the number of forfeitures⁽¹⁾ and quantities of drugs forfeited to law enforcement agencies during the years 2006–2009.

	Type of illicit drugs and raw materials	Number of forfeitures				Quantities of drugs forfeited			
		2006	2007	2008	2009	Unit of Measure	2006	2007	2008
1.	Opium								
2.	Poppy Plants								
3.	Poppy Seeds								
4.	Morphine								
5.	Heroin								
6.	Coca Leaf								
7.	Cocaine HCl								
8.	Crack								
9.	Other substances that contain cocaine** Specify: _____								
10.	Cannabis plants								
11.	Leaf Cannabis (grass)								
12.	Cannabis Resin (hashish)								
13.	Hashish Oil (liquid cannabis)								
14.	Cannabis Seed								
15.	LSD								
16.	Amphetamine/methamphetamine								
17.	Other amphetamine-like stimulants ⁽²⁾								
18.	MDMA (Ecstasy) and derivatives								
19.	GHB								
20.	Methadone								
21.	Others (specify)								

** Includes coca paste, cocaine paste, cocaine base, basuco, paco, merla, among other denominations, depending on the terms used by the country.

B. 1. Does your country have specialized studies and/or analysis for the characterization and profiling ⁽³⁾ of seized substances?

Y N

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2. If “yes”, please describe the methodologies and protocols used, and indicate the date of the studies.

C. Observations:

D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Forfeiture** refers to the permanent deprivation of property by order of a court or other competent authority (Definition taken from the United Nations Convention against Transnational Organized Crime).

⁽²⁾ **Other amphetamine-like stimulants** include synthetic drugs subject to abuse with stimulant properties such as enhanced alertness, attention and energy; elevated blood pressure; increased heart rate; increased respiration; suppressed appetite; sleep deprivation.

⁽³⁾ **Characterization and profiling:** “Drug characterization and impurity profiling refer to the use of scientific laboratory information in support of law enforcement operational work, and is aimed at establishing links between drug samples. It consists of the systematic collection and sharing, in a standardized form, of physical and chemical information on a drug seizure, including the analysis and use of trace impurities to link different drug samples.”

NUMBER OF PERSONS AND PUBLIC OFFICIALS FORMALLY CHARGED WITH AND CONVICTED OF ILLICIT DRUG TRAFFICKING

ILLICIT DRUG TRAFFICKING

**PURPOSE OF
INDICATOR**

To estimate the number of persons and public officials involved in cases related to illicit drug trafficking

- A. During the years 2006–2009, how many people were formally charged⁽¹⁾ in your country with illicit drug trafficking ⁽²⁾ ?

Number of persons formally charged			
2006	2007	2008	2009

- B. During the years 2006–2009, how many people were convicted in your country for illicit drug trafficking ?

Number of persons convicted			
2006	2007	2008	2009

- C. Please indicate the number of public officials⁽³⁾ formally charged with offenses related to illicit drug trafficking.

Year	Number of public officials formally charged
2006	
2007	
2008	
2009	

- D. Please indicate the number of public officials convicted of offenses related to illicit drug trafficking.

Year	Number of public officials convicted
2006	
2007	
2008	
2009	

E. Observations:

F. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Formally charged** as used in this indicator refers, in general, to the proceeding in which an individual receives the charges as part of criminal proceedings, when the investigative work has been completed.

⁽²⁾ **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.

⁽³⁾ **Public official** refers to any official or employee of the state or its agencies, including those who have been selected, appointed, or elected to perform activities or functions in the name of the state or in the service of the state, at any level of its hierarchy.

NUMBER OF PERSONS FORMALLY CHARGED WITH AND CONVICTED OF ILLICIT POSSESSION OF DRUGS

ILLICIT DRUG TRAFFICKING

PURPOSE OF INDICATOR

To estimate the number of persons involved in cases related to possession of illicit drugs and to determine the respective legal framework

- A. 1. How does your country handle illicit drug possession for personal use?

2. Please provide the name and article of the relevant legislation.

- B. During the years 2006–2009, how many persons were formally charged with illicit possession of drugs for personal use?

Number of persons formally charged			
2006	2007	2008	2009

- C. During the years 2006–2009, how many persons were convicted of illicit possession of drugs for personal use?

Number of persons convicted			
2006	2007	2008	2009

- D. 1. Does your country have laws criminalizing the illicit possession of drugs?

Y

N

2. Please provide the titles and articles of the relevant legislation.

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E. During the years 2006–2009, how many people were formally charged ⁽¹⁾ in your country with illicit drug possession ⁽²⁾ ?

Number of persons formally charged			
2006	2007	2008	2009

F. During the years 2006–2009, how many people were convicted in your country of illicit drug possession?

Number of persons convicted			
2006	2007	2008	2009

G. 1. Does your country have alternative sentencing measures ⁽³⁾ for illicit drug possession?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
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2. If the answer is “yes,” please indicate the alternative measures applied.

Type of measure	Number of persons to whom it has been applied

3. If such alternative measures have been applied, have their results been evaluated?

Y N

<input type="checkbox"/>	<input type="checkbox"/>
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H. Observations:

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I. Agency and official providing information:

Definitions and Explanations

(1) **“Formally charged”** as used in this indicator refers, in general, to the proceeding in which the individual receives the charges as part of criminal proceedings, after the investigative work has been completed.

(2) **Illicit drug possession** refers to the possession of illicit drugs exceeding the maximum amount established in the national legislation that is considered to be for personal use or consumption, and in addition does not exceed the limit that classifies it as illicit drug trafficking.

(3) **Alternative measures** are measures applied instead of judicial proceedings or the imposition of sanctions, such as drug treatment courts, therapeutic measures aimed at rehabilitation and social reinsertion, and educational measures, among others.

**OPERATIONAL INFORMATION EXCHANGE AND
COLLABORATION AMONG AUTHORITIES RESPONSIBLE
FOR SUPPRESSING ILLICIT DRUG TRAFFICKING**

ILLICIT DRUG TRAFFICKING

**PURPOSE OF
INDICATOR****To determine the existence of national and international coordination in preventing and
suppressing illicit drug trafficking**

- A. 1. Please indicate which national authorities are responsible for controlling illicit drug trafficking in your country.

2. What mechanisms are being used to promote or facilitate the timely exchange of information and collaboration between national authorities responsible for the control of illicit drug trafficking?

3. What have been the principal achievements in applying these mechanisms?

- B. 1. What mechanisms of international cooperation do the national authorities responsible for the control of illicit drug trafficking use to promote or facilitate the timely exchange of operational information and collaboration with national authorities of foreign countries responsible for the control of illicit drug trafficking?

2. What have been the principal achievements in applying these means of international cooperation?

3. What major impediments have been encountered in ensuring effective information exchange and collaboration?

C. Observations:

D. Agency and official providing information:

SPECIALIZED TRAINING ON THE CONTROL OF ILLICIT DRUG TRAFFICKING

ILLICIT DRUG TRAFFICKING

PURPOSE OF INDICATOR

To determine the existence of specialized training on illicit drug trafficking for law enforcement, security and customs officers

A. 1. Has your country developed specialized training courses or briefings⁽¹⁾ to address illicit drug trafficking?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Law enforcement
b.	<input type="checkbox"/>	<input type="checkbox"/>	Customs officers
c.	<input type="checkbox"/>	<input type="checkbox"/>	Prosecutors
d.	<input type="checkbox"/>	<input type="checkbox"/>	Judiciary

2. If the answer is “yes”, please provide details of specialized training courses delivered in the years 2006–2009:

Year	Name of course	Location	Participating countries ⁽²⁾	Participating Agencies ⁽³⁾

B. Please indicate if the above noted courses delivered during the evaluation period satisfied the training needs of your country:

Y N

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C. Identify specific training needs that are not covered by the courses currently offered in your country.

D. Observations:

E. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Specialized training courses or briefings** refers to initiatives or activities developed and implemented by the country intended to increase awareness or build capacity, expertise or skills in matters related to the control of illicit drugs and related areas such as the control of chemicals, and money laundering control, among others. These initiatives or activities could be in the form of training seminars, courses, briefings or other similar vehicles.

⁽²⁾ **Participating countries** refers to individuals from other countries that participated in the specialized training course.

⁽³⁾ **Participating agencies** refers to the national or international agencies, departments, organizations or entities that were involved in the initiative either as participants, trainers or to help organize or fund it.

PURPOSE OF
INDICATORDetermine the capacity of the country in port security, in the prevention of maritime
drug trafficking

- A. 1. Has your country implemented the International Ship and Port Facility Security (ISPS) Code developed by the International Maritime Organization (IMO) adopted in December 2002?

Y N

2. If the answer is “yes”, what percentage of your country’s ports have implemented the ISPS Code and how is it being implemented?

- B. 1. Does your country have any other port security programs, apart from the ISPS?

Y N

2. If the answer is “yes”, how are they implemented?

3. Which entity is responsible for coordinating the implementation of the program(s) of counterdrug port security, and which other entities (governmental or non-governmental) participate in these activities?

4. Which of the following elements are included in your counterdrug port security program⁽¹⁾?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Active involvement of the private or commercial sector
b.	<input type="checkbox"/>	<input type="checkbox"/>	Funding of the program by the private or commercial sector in the port
c.	<input type="checkbox"/>	<input type="checkbox"/>	Funding of the program by the government
d.	<input type="checkbox"/>	<input type="checkbox"/>	Funding shared by the government and private sector
e.	<input type="checkbox"/>	<input type="checkbox"/>	Others (please specify) :

C. 1. Does your country have regulations that designate selected ports through which specified cargo (e.g. chemicals, pharmaceutical products, etc.) can enter?

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

2. If yes, please provide the following information regarding these designated ports:

Name/location	Designated for import of what cargo?	Designated for export of what cargo?	Designated for transit of what cargo?

D. 1. In accordance with Article 18 of the 1988 UN Convention against the Illicit Traffic in Narcotic Drugs and Psychotropic Substances, are “free trade zones” and “free ports”⁽²⁾ subject to your national laws for the control and prevention of illicit drug trafficking, precursor chemicals and other related contraband?

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

2. If yes, which of the following controls apply:

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Monitoring ⁽³⁾ the movement of goods and persons suspected of having illicit drugs or chemical substances.
b.	<input type="checkbox"/>	<input type="checkbox"/>	Authorization from competent authorities to inspect the arrival and departure of cargo and vessels including non-commercial ⁽⁴⁾ vessels or pleasure craft.
c.	<input type="checkbox"/>	<input type="checkbox"/>	Existence of permanent monitoring systems to detect shipments suspected of having illicit drugs, chemical substances, arms and related contraband.
d.	<input type="checkbox"/>	<input type="checkbox"/>	Others (please specify)

E. Which agencies participate in counter drug monitoring and interdiction⁽⁵⁾ activities in your ports?

F. Which of the following mechanisms are in place to gather, analyze, exchange and share information and intelligence among the national and public entities involved in counter drug control activities in ports?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Common interagency database ⁽⁶⁾
b.	<input type="checkbox"/>	<input type="checkbox"/>	Mutual access to databases ⁽⁷⁾
c.	<input type="checkbox"/>	<input type="checkbox"/>	Standing interagency task forces
d.	<input type="checkbox"/>	<input type="checkbox"/>	Information exchange and sharing between private and public sector partners
e.	<input type="checkbox"/>	<input type="checkbox"/>	"Know your client" program

- f. Review of manifests and other documents for targeting purposes
- g. Regular interagency meetings
- h. National electronic monitoring
- i. Information on electronic monitoring from other countries or agencies
- j. Informants
- k. Private sector
- l. Shipping documents
- m. Law enforcement or other agencies in other countries
- n. Others (please specify):

G. 1. Does your country have a control mechanism to monitor the movement in and/or out of your ports?

Y **N**

2. If yes, what kind of system is it?

	Commercial			Non-commercial		
	Yes	No	NA	Yes	No	NA
Manual record system						
Computerized record system						
Other (please specify):						

3. Who operates the system?

4. How is the information gathered?

	Commercial			Non-Commercial		
	Yes	No	NA	Yes	No	NA
Observation and monitoring						
Reporting by vessel to the harbor pilot, port authority or other entity						
Other (please specify):						

5. Who has access to this information?

H. How do you determine which vessels, cargo or containers should undergo a more complete inspection or examination in person?

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Review of documents
b.	<input type="checkbox"/>	<input type="checkbox"/>	Use of established risk indicators
c.	<input type="checkbox"/>	<input type="checkbox"/>	Interagency exchange of information
d.	<input type="checkbox"/>	<input type="checkbox"/>	Reports from agencies in other countries
e.	<input type="checkbox"/>	<input type="checkbox"/>	Others (please specify)

I. Observations:

J. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Port security program** refers to the operational application of anti-crime activities by government agencies and by private sector participants to counterattack the criminal exploitation of maritime ports for the purpose of supporting their security strategy.

(2) **Free trade zone / free ports** refer to ports or areas with special economic status in which taxes, customs duties or other assessments on cargo are waived or reduced.

(3) **Monitoring** refers to activities intended to ensure compliance or to identify actual or suspected illegal activities including diversion and smuggling. The “monitoring” could be through direct observation, tracking and observation by electronic means including radar and similar technologies, and the review of documents, papers and other information sources.

(4) **Non-commercial vessels** refers to any maritime craft or vessel not engaged in port-to-port transfer of cargo or passengers (pleasure craft, fishing vessels, offshore work boats, etc.)

(5) **Interdiction** refers to activities such as detection, interception, search, seizure and others related to counterdrug operations.

(6) **Common interagency database** refers to a system in which a single database is established and to which various agencies, ministries and departments input data and to which they all have access (remote or direct).

(7) **Mutual access to databases** refers to a system in which individual agencies, ministries and departments maintain their own electronic databases to which other organizations have access (remote or direct) to search for information.

MARITIME MONITORING AND INTERDICTION

ILLCIT DRUG TRAFFICKING

PURPOSE OF INDICATOR

To determine the existing mechanisms to minimize illicit maritime narcotrafficking

- A. 1. Does your country carry out maritime counterdrug detection, monitoring⁽¹⁾ and interdiction⁽²⁾ activities?

Y

N

2. If yes, please provide details:

- B. Which agencies are responsible for coordinating detection and monitoring activities and 'at sea' interdiction operations, and what other partners are involved?

	Monitoring				Interdiction			
	Coordinator		Participant		Coordinator		Participant	
	Yes	No	Yes	No	Yes	No	Yes	No
Public Prosecutor's Office								
Customs								
National Police								
National Guard								
Coast Guard								
Navy								
Others (please specify):								

C. How many operations related to maritime interdiction were carried out by authorities, and vessels seized or decommissioned, during the years 2006 – 2009?

Type of vessel seized	Number of operations			
	2006	2007	2008	2009
Others (specify):				
Total				

D. During the years 2006–2009, how many maritime counterdrug operations⁽³⁾ were undertaken in partnership with other countries, in accordance with Article 17 of the 1988 Vienna Convention ⁽⁴⁾?

Number of requests made	Number of operations undertaken	Partner countries involved

E. Observations:

F. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Monitoring** refers to activities intended to ensure compliance or to identify actual or suspected illegal activities including diversion and smuggling. The monitoring could be through direct observation, tracking and observation by electronic means including radar and similar technologies and the review of documents, papers and other information sources.

⁽²⁾ **Interdiction** refers to activities such as detection, interception, search, seizure and others related to counterdrug operations.

⁽³⁾ **Maritime counterdrug operations** refers to activities or patrols conducted by maritime vessels or aircraft to detect, monitor or interdict vessels suspected of engaging in narcotrafficking.

(4) Article 17 of the Vienna Convention 1988 defines **illicit traffic by sea** as follows:

1. The Parties shall co-operate to the fullest extent possible to suppress illicit traffic by sea, in conformity with the international law of the sea.
2. A Party which has reasonable grounds to suspect that a vessel flying its flag or not displaying a flag or marks of registry is engaged in illicit traffic may request the assistance of other Parties in suppressing its use for that purpose. The Parties so requested shall render such assistance within the means available to them.
3. A Party which has reasonable grounds to suspect that a vessel exercising freedom of navigation in accordance with international law, and flying the flag or displaying marks of registry of another Party is engaged in illicit traffic may so notify the flag State, request confirmation of registry and, if confirmed, request authorization from the flag State to take appropriate measures in regard to that vessel.
4. In accordance with paragraph 3 or in accordance with treaties in force between them or in accordance with any agreement or arrangement otherwise reached between those Parties, the flag State may authorize the requesting State to, *inter alia*:
 - a) Board the vessel;
 - b) Search the vessel;
 - c) If evidence of involvement in illicit traffic is found, take appropriate action with respect to the vessel, persons and cargo on board.
5. Where action is taken pursuant to this article, the Parties concerned shall take due account of the need not to endanger the safety of life at sea, the security of the vessel and the cargo or to prejudice the commercial and legal interests of the flag State or any other interested State.
6. The flag State may, consistent with its obligations in paragraph 1 of this article, subject its authorization to conditions to be mutually agreed between it and the requesting Party, including conditions relating to responsibility.
7. For the purposes of paragraphs 3 and 4 of this article, a Party shall respond expeditiously to a request from another Party to determine whether a vessel that is flying its flag is entitled to do so, and to requests for authorization made pursuant to paragraph 3. At the time of becoming a Party to this Convention, each Party shall designate an authority or, when necessary, authorities to receive and respond to such requests. Such designation shall be notified through the Secretary-General to all other Parties within one month of the designation.
8. A Party which has taken any action in accordance with this article shall promptly inform the flag State concerned of the results of that action.
9. The Parties shall consider entering into bilateral or regional agreements or arrangements to carry out, or to enhance the effectiveness of, the provisions of this article.
10. Action pursuant to paragraph 4 of this article shall be carried out only by warships or military aircraft, or other ships or aircraft clearly marked and identifiable as being on government service and authorized to that effect.
11. Any action taken in accordance with this article shall take due account of the need not to interfere with or affect the rights and obligations and the exercise of jurisdiction of coastal States in accordance with the international law of the sea.

INTERDICTION FOR THE CONTROL OF AERIAL DRUG TRAFFICKING ACTIVITIES

ILLCIT DRUG TRAFFICKING

PURPOSE OF INDICATOR

Determine the existing mechanisms in place to prevent aerial illicit drug trafficking

- A. 1. Does your country carry out aerial interdiction ⁽¹⁾ for illicit drug trafficking activities?

Y N

2. In either case, please provide details.

- B. Which entities are in charge of coordinating surveillance and aerial interdiction operations, and what other entities participate?

	Monitoring				Interdiction			
	Coordinator		Participant		Coordinator		Participant	
	Yes	No	Yes	No	Yes	No	Yes	No
Public Prosecutor's Office								
Customs								
National Police								
National Guard								
Coast Guard								
Navy								
Others (please specify):								

C. During the years 2006–2009, how many aerial anti-drug interdiction operations⁽²⁾ were carried out in your country?

Year	Number of collaborations ⁽³⁾	Number of operations carried out	Countries involved
2006			
2007			
2008			
2009			

D. How many operations related to aerial interdiction were carried out by the authorities, and how many aircraft were seized or decommissioned, during the years 2006 – 2009?

Type of aircraft seized	Number of operations			
	2006	2007	2008	2009
Others (specify):				
Total				

F. Observations:

G. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Interdiction** refers to activities such as interception, arrest, search and seizure, and other activities related to anti-drug operations.

⁽²⁾ **Aerial anti-drug operations** refers to aerial operational procedures for the purpose of carrying out aerial interdiction activities in order to neutralize the threat of aerial drug trafficking.

⁽³⁾ **Collaborations** refers to actions led by the air force, in collaboration with the country's army, navy or police, or other countries' armed forces, in order to complement or finish an aerial interdiction operation related to illicit drugs.

PURPOSE OF INDICATOR **To determine the existence of mechanisms to prevent and/or control the use of the Internet for illicit drug trafficking**

A. 1. Does your country have legislation or regulations in place to control the sale of drugs⁽¹⁾ via the Internet?

Provisions of general drug control legislation and regulations (e.g. requirements related to prescriptions, imports/exports, etc.) that can be applied in controlling the Internet sale of drugs

Legislation and regulations specifically created to control cybernetic crime including the sale of drugs over the Internet

No legislation or regulations in place that can be applied or used in some way to control the sale of drugs over the Internet

2. If your country has general or specific legislation or regulations, please provide details including the title, date, entry into force, relevant articles and possible sanctions.

B. 1. Have the functions and responsibilities of the authorities involved in the control of the sale of drugs over the Internet been clearly defined?

Y N

2. If the answer is “yes”, please list the entities that are involved, and the scope of their responsibilities.

3. If the answer is “no”, please explain the reason why these responsibilities have not been defined.

- C. 1. Do the responsible institutions have procedures, investigation techniques, training and equipment to detect suspicious transactions or diversion of drugs through the Internet?

Y N

2. If the answer is “yes”, please provide details.

3. If the answer is “yes”, please provide the names of the authorities responsible for coordinating these procedures, investigation techniques and/or training, and the supporting authorities for each of these actions.

Action	Responsible authority	Supporting authorities
Procedures		
Investigation techniques		
Training		

- D. 1. Has your country carried out activities or programs to increase awareness among administrative, judicial, law enforcement, postal, customs or other authorities regarding illicit sale of drugs through the Internet?

Y N

2. If the answer is “yes”, please describe the activities that have been implemented, who implements them, and who they target.

- E. 1. Has your country established a mechanism for citizens to report⁽²⁾ the illicit sale of drugs through the Internet?

Y N

2. If the answer is “yes”, please describe the type of mechanism that has been established, how many reports were received and what benefits could be observed.

F. Observations:

G. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Drug:** Any substance, whether licit (such as pharmaceutical products, but excluding alcohol and tobacco) or illicit, of natural or synthetic origins, that has psychoactive properties.

⁽²⁾ **Citizen reporting mechanism** refers to means through which citizens report illicit actions to the competent authorities (free telephone hotline, Internet site, mailbox, etc.).

LEGAL FRAMEWORK TO CONTROL FIREARMS, AMMUNITION, EXPLOSIVES AND OTHER RELATED MATERIALS

FIREARMS, AMMUNITION, EXPLOSIVES AND OTHER RELATED MATERIALS

PURPOSE OF INDICATOR

Identify the laws and national regulations that govern the manufacture, importation, exportation, transit, purchase, sale, shipment, movement or transfer, registration, marking, transport, possession, carrying, storage, and marketing of firearms¹, ammunition², explosives³ and other related materials⁴, as well as the definition of crimes that exist in this area

A. 1. Are there official entities that regulate and authorize licit activities (manufacture, importation, exportation, transit, purchase, sale, shipment, movement or transfer, registration, marking, transport, possession, carrying, storage, and marketing) for firearms, ammunition, explosives and other related materials?

	Y	N	N/A	
a.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Manufacture
b.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Importation
c.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exportation
d.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Transit
e.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Purchase
f.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Sale
g.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Shipment
h.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Movement
i.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Transfer

j. Registration

k. Marking

l. Transport

m. Possession

n. Carrying

o. Storage

p. Marketing

2. If the answer is “yes,” please identify the relevant official entities or institutions and provide the current legislation or regulations.

Institution	Legislation or regulations

B. 1. Do current laws and/or regulations establish administrative controls for the manufacture, importation, exportation and transit of firearms, ammunition, explosives and other related materials?

Y N N/A

a. Firearms

b. Ammunition

c. Explosives

d. Other related materials

2. Please provide the titles and relevant articles of current national laws or regulations and the sanctions for non-compliance.

Material	Titles and articles of current laws and/or regulations	Sanctions
Firearms		
Ammunition		
Explosives		
Other related materials		

C. 1. Do current laws and/or regulations criminalize the trafficking in and illicit production of firearms, ammunition, explosives and other related materials?

Y **N** **N/A**

2. If the answer is “yes”, please provide the titles and relevant articles of current national laws or regulations and the sanctions for non-compliance.

Titles and articles of current laws and/or regulations	Sanctions

D. 1. Do current laws or regulations establish administrative controls for transactions (legal transfer), between persons or legal entities, from the initial transfer through to the end user, including, when applicable, all of the various carriers of firearms, ammunition, explosives and other related materials?

	Y	N	N/A	
a.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Firearms
b.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ammunition
c.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Explosives
d.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Other related materials

2. Please provide the titles and relevant articles of current national laws or regulations and the sanctions for non-compliance.

Material	Titles and articles of current laws and/or regulations	Sanctions
Firearms		
Ammunition		
Explosives		
Other related materials		

E. 1. Do current laws and/or regulations govern illicit transactions between persons or legal entities, from the initial transfer through to the end user including, when applicable, all of the various carriers of firearms, ammunition, explosives and other related materials?

	Y	N	N/A	
a.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Firearms
b.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ammunition
c.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Explosives
d.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Other related materials

2. Please provide the titles and relevant articles of current national laws or regulations and the sanctions for non-compliance.

Material	Titles and articles of current laws and/or regulations	Sanctions
Firearms		
Ammunition		
Explosives		
Other related materials		

F. 1. Do current laws and/or regulations regulate and authorize commercial transactions (purchase-sale) of firearms, ammunition, explosives and other related materials between:

	Y	N	N/A	
a.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Person to person
b.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Legal entity to person
c.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Legal entity to legal entity
d.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Legal entity or person to foreigners

2. If the answer to any option is “yes,” please provide the titles and relevant articles of current national laws or regulations and the sanctions for non-compliance.

Titles and articles of current laws and/or regulations	Sanctions

G. Does your national law require, in accordance with the Inter-American Convention against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials, that firearms be marked?

	Y	N	
1.	<input type="checkbox"/>	<input type="checkbox"/>	At the time of manufacture
2.	<input type="checkbox"/>	<input type="checkbox"/>	For their importation
3.	<input type="checkbox"/>	<input type="checkbox"/>	For official use after confiscation or forfeiture

H. Observations:

I. Agency and official providing information.

Definitions and Explanations

(1) Firearms:

- a)- any barreled weapon which will or is designed to or may be readily converted to expel a bullet or projectile by the action of an explosive, except antique firearms manufactured before the 20th Century or their replicas; or
- b)- any other weapon or destructive device such as any explosive, incendiary or gas bomb, grenade, rocket, rocket launcher, missile, missile system, or mine.

(2) Ammunition: a complete round or its components, including cartridge cases, primers, propellant powder, bullets, or projectiles that are used in any firearm.

(3) Explosives: any substance or article that is made, manufactured, or used to produce an explosion, detonation, or propulsive or pyrotechnic effect, except:

- a) substances and articles that are not in and of themselves explosive; or
- b) substances and articles listed in the Annex to the Inter-American Convention Against the Illicit Manufacturing of and Trafficking in Firearms, Ammunition, Explosives and Other Related Materials.

(4) Other related materials: any component, part, or replacement part of a firearm, or an accessory which can be attached to a firearm.

OPERATIONAL SCOPE OF ACTIVITIES TO COMBAT ILLICIT ACTIVITIES RELATED TO FIREARMS, AMMUNITION, EXPLOSIVES AND OTHER RELATED MATERIALS IN ALL FORMS

FIREARMS, AMMUNITION, EXPLOSIVES AND OTHER RELATED MATERIALS

PURPOSE OF INDICATOR

Identify the actions taken to control firearms, ammunition, explosives and other related materials in order to evaluate the effectiveness of their controls, the responsible national entities, and define the scope of information exchange

A. Is there a national entity (or entities) responsible for carrying out control activities for firearms, ammunition, explosives and other related materials?

	Y	N	N/A	Responsibility	National entity
a.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of manufacturing licenses/permits	
b.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of import licenses/permits	
c.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of export licenses/permits	
d.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of transit licenses/permits	
e.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of purchasing licenses/permits	
f.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of sales licenses/permits	
g.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of shipment licenses/permits	
h.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of transfer licenses/permits	
i.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of registration licences/permits	
j.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of marking licenses/permits	
k.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of transport licenses/permits	

l.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of possession licenses/permits
m.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of carrying licenses/permits
n.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of storage licenses/permits
o.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Issuance of marketing licenses/permits

B. Does your country have mechanisms for information exchange and cooperation between national institutions regarding all forms of control of firearms, ammunition, explosives and other related materials?

Y	N	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C. Does your country have mechanisms for information exchange and cooperation between hemispheric institutions regarding activities for control of firearms, ammunition, explosives and other related materials?

Y	N	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D. How many times has the entrance of a shipment of firearms, ammunition, explosives or other related materials not been authorized due to the absence of the necessary licenses or permits, during the years 2006–2009?

Year	Shipments of firearms	Shipments of ammunition	Shipments of explosives	Shipments of other related materials
2006				
2007				
2008				
2009				

- E. How many times has your country not issued an export license or permit because the necessary licenses or permits were not first issued by the importing country during the years 2006–2009?

Year	Shipments of firearms	Shipments of ammunition	Shipments of explosives	Shipments of other related materials
2006				
2007				
2008				
2009				

- F. How many times did your country not authorize exportation of a shipment of firearms, ammunition, explosives or other related materials because the transit country did not first issue the necessary licenses or permits, during the years 2006–2009?

Year	Shipments of firearms	Shipments of ammunition	Shipments of explosives	Shipments of other related materials
2006				
2007				
2008				
2009				

- G. 1. Is there a database or national registry of the importation, exportation, and transit of firearms, ammunition, explosives or other related materials?

Transaction	Firearms	Ammunition	Explosives	Other related materials
Importation				
Exportation				
Transit				

2. If the answer is “yes”, please describe the type of registry

--

3. For how many years are these registries kept?

Transaction	Firearms	Ammunition	Explosives	Other related materials
Importation				
Exportation				
Transit				

4. Are these registries computerized?

Transaction	Firearms		Ammunition		Explosives		Other related materials	
	Yes	No	Yes	No	Yes	No	Yes	No
Importation								
Exportation								
Transit								

H. Observations:

I. Agency and official providing information:

NATIONAL DATABASE AND STATISTICS ON SEIZURE AND FORFEITURE OF FIREARMS, AMMUNITION, EXPLOSIVES AND OTHER RELATED MATERIALS AND THEIR LINK WITH NARCOTRAFFICKING

FIREARMS, AMMUNITION, EXPLOSIVES AND OTHER RELATED MATERIALS

PURPOSE OF INDICATOR

Determine the existence of a national database and statistics on seizure and forfeiture of these materials, and demonstrate the link existing between illicit traffic in firearms, ammunition, explosives and other related materials and narcotrafficking.

- A. 1. Is there a national entity (or entities) responsible for carrying out control activities for firearms, ammunition, explosives and other related materials linked with narcotrafficking?

Y N N/A

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2. If the answer is “yes”, please indicate the entity (or entities) responsible in the following table:

Responsibility	National entity
Seizure and forfeiture of illicitly trafficked firearms or ammunition	
Information exchange within the country between the relevant national entities	
Information exchange with the relevant national entities in other countries	

- B. 1. Is there a database or national registry for confiscation of firearms, ammunition, explosives and other related materials?

Firearms			Ammunition			Explosives			Other related materials		
Yes	No	N/A	Yes	No	N/A	Yes	No	N/A	Yes	No	N/A

2. For how many years are these registries kept?

Firearms		Ammunition		Explosives		Other related materials	
Years	N/A	Years	N/A	Years	N/A	Years	N/A

3. Are these registries computerized?

Firearms			Ammunition			Explosives			Other related materials		
Yes	No	N/A	Yes	No	N/A	Yes	No	N/A	Yes	No	N/A

4. Describe the database system used and indicate any obstacles.

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C. 1. Is there a specific registry for arms transfer that follows up from the initial sale through subsequent transfers?

Y	N	N/A
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. If the answer is “yes”, please indicate the entity (or entities) responsible in the following table:

National entity	Responsibility

D. Quantity of firearms, ammunition, explosives and other related materials seized in narcotrafficking cases during the years 2006–2009.

Quantities seized				
Year	Firearms	Ammunition	Explosives	Other related materials
2006				
2007				
2008				
2009				

E. Quantities of firearms, ammunition, explosives and other related materials forfeited in narcotrafficking cases in the years 2006–2009.

Quantities forfeited				
Year	Firearms	Ammunition	Explosives	Other related materials
2006				
2007				
2008				
2009				

F. Please indicate the quantity of firearms, ammunition, explosives and other related materials seized in relation to the number of arrests for narcotrafficking.

Year	Number of arrests	Quantity of firearms	Quantity of ammunition	Quantity of explosives	Quantity of other related materials	Number of operations
2006						
2007						
2008						
2009						

G. Please indicate the quantities of firearms, ammunition, explosives and other related materials forfeited in relation to the number of arrests for narcotrafficking.

Year	Number of arrests	Quantity of firearms	Quantity of ammunition	Quantity of explosives	Quantity of other related materials	Number of operations
2006						
2007						
2008						
2009						

H. Please indicate the number of persons formally charged with illicit activities related to firearms, ammunition, explosives, and other related materials, linked with narcotrafficking, during the years 2006–2009.

Number of persons		
Year	Nationals	Foreigners
2006		
2007		
2008		
2009		

I. Please indicate the type of firearms seized from persons formally charged with illicit activities related to firearms, ammunition, explosives, and other related materials, linked with narcotrafficking.

1. Long guns

Year	Long guns	Caliber	Manufacturer	Quantity (Units)
2006				
2007				

2008				
2009				

2. Short guns

Year	Short Guns	Caliber	Manufacturer	Quantity (Units)
2006				
2007				
2008				
2009				

3. Explosive materials

Year	Explosive Materials	Manufacturer	Quantity (Units/Kilos)
2006			
2007			
2008			
2009			

4. Ammunition

Year	Ammunition	Caliber	Manufacturer	Quantity (Units)
2006				
2007				
2008				
2009				

J. Please indicate the number of persons convicted of illicit activities related to firearms, ammunition, explosives, and other related materials, linked to narco trafficking, during the years 2006–2009.

Number of persons		
Year	Nationals	Foreigners
2006		
2007		
2008		
2009		

K. Observations:

L. Agency and official providing information:

TRACING OF ILLICITLY TRAFFICKED, DIVERTED AND SEIZED FIREARMS

FIREARMS, AMMUNITION, EXPLOSIVES AND OTHER RELATED MATERIALS

PURPOSE OF INDICATOR

Determine the number of international firearms trace requests initiated in order to identify the point of diversion of firearms from licit markets to illicit use.

- A. Number of firearms traces/investigations launched in the country to determine the source of a seized firearm (or other related material).

Year	Firearms traces / investigations launched
2006	
2007	
2008	
2009	

- B. Number of firearms trace requests submitted to other national authorities.

Year	Firearms trace requests submitted
2006	
2007	
2008	
2009	

- C. Number of investigations initiated/assisted in your country as a result of a trace request from another country.

Year	Domestic investigations initiated/assisted
2006	
2007	
2008	
2009	

- D. Number of international firearms trace requests received.

Year	International firearms trace requests received
2006	
2007	
2008	
2009	

E. Number of international firearms traces completed.

Year	International firearms traces completed
2006	
2007	
2008	
2009	

F. Observations:

G. Agency and official providing information:

SCOPE OF NATIONAL LAWS THAT CRIMINALIZE MONEY LAUNDERING

MONEY LAUNDERING

PURPOSE OF INDICATOR

To establish adequate penal regulations to suppress money laundering

- A. Provide current national laws that criminalize money laundering ⁽¹⁾ and related crimes⁽²⁾, and the sanctions for non-compliance. Please annex the text of each law.

Titles, dates and relevant articles of current national laws that criminalize money laundering and related crimes	Sanction⁽³⁾

B. Please indicate if your country has established the following crimes as predicate offenses for money laundering:

	Y	N	Predicate offense ⁽⁴⁾
1.	<input type="checkbox"/>	<input type="checkbox"/>	Illicit drug trafficking
2.	<input type="checkbox"/>	<input type="checkbox"/>	Trafficking of firearms
3.	<input type="checkbox"/>	<input type="checkbox"/>	Illicit trafficking of migrants
4.	<input type="checkbox"/>	<input type="checkbox"/>	Trafficking in human beings
5.	<input type="checkbox"/>	<input type="checkbox"/>	Kidnapping
6.	<input type="checkbox"/>	<input type="checkbox"/>	Extortion
7.	<input type="checkbox"/>	<input type="checkbox"/>	Corruption and crimes against public administration
8.	<input type="checkbox"/>	<input type="checkbox"/>	Fraud or financial crimes
9.	<input type="checkbox"/>	<input type="checkbox"/>	Serious crimes ⁽⁵⁾ penalized with more than a given number of years in prison
10.	<input type="checkbox"/>	<input type="checkbox"/>	Others (specify)

C. Please indicate if it is necessary in your country for a person to be convicted of a predicate offense in order to be convicted of laundering the proceeds of that offense.

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

D. If so, explain and annex the relevant law.

E. Please indicate if laws exist in your country that permit the perpetrator of the predicate offense to be convicted for money laundering.

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

F. If so, explain and annex the relevant law.

G. Please indicate which special investigative techniques are permitted under national law in money laundering investigations:

	Y	N	Action
1.	<input type="checkbox"/>	<input type="checkbox"/>	Undercover investigations ⁽⁶⁾
2.	<input type="checkbox"/>	<input type="checkbox"/>	Electronic surveillance ⁽⁷⁾
3.	<input type="checkbox"/>	<input type="checkbox"/>	Use of informants ⁽⁸⁾
4.	<input type="checkbox"/>	<input type="checkbox"/>	Controlled deliveries ⁽⁹⁾
5.	<input type="checkbox"/>	<input type="checkbox"/>	Sentence reduction for cooperating witnesses ⁽¹⁰⁾
6.	<input type="checkbox"/>	<input type="checkbox"/>	Other special investigative techniques

H. Observations:

I. Agency and 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, amended in 1999.
- (2) **Related crimes** refers to all activities criminalized under the country's laws, related through a prior causation, concurrent or subsequent, with any of the activities which generally accompany illicit drug trafficking
- (3) **Sanction** refers to the number of years of imprisonment or to any type of additional sanction such as a fine or disqualification.
- (4) **Predicate offenses** are those crimes which produce the assets involved in money laundering offenses.
- (5) **Serious crimes** refers to conduct constituting an offense punishable by a maximum deprivation of liberty of at least four years or a more serious penalty (United Nations Convention against Transnational Organized Crime, article 2.b).
- (6) **Undercover investigations** are those that authorize law enforcement agents assuming fictitious identities to infiltrate criminal organizations in order to obtain evidence or other information relating to violations of one or more criminal laws. They may include employment of a ruse or deception - the provision of useful data to commit an offence - but shall not encourage suspects to commit crimes that they are not predisposed to commit.
- (7) **Electronic surveillance** is the interception or monitoring of wire, oral or electronic communications. The interception is the acquisition of the content of any communication; the monitoring is carried out by using a recording device.
- (8) **Use of informants** is the authorization given to a person in order to furnish reliable information related to money laundering. The informant may be a person subject to arrest and prosecution or a defendant in a pending case that, under the specific direction of a law enforcement agent, furnishes information regarding money laundering. In such a case the informant is a "defendant-informant".
- (9) **Controlled delivery** is the technique of allowing illicit or suspect consignments to pass through, into or out of, the territory of one or more countries with the knowledge and under the supervision of their competent authorities with the objective of investigating and identifying persons involved in money laundering cases.
- (10) **Sentence reduction for cooperating witnesses** is when a person convicted, in order to obtain a reduction of his/her sentence, cooperates with the government by providing precise information or data that sheds light on the commission of a crime.

PARTICIPATION IN A FINANCIAL ACTION TASK FORCE FOR THE CONTROL OF MONEY LAUNDERING

MONEY LAUNDERING

PURPOSE OF INDICATOR

To determine if the national system to control money laundering ⁽¹⁾ has been evaluated by a Financial Action Task Force

- A. Does your country belong to a regional organization such as the FATF (Financial Action Task Force)?

FATF	CFATF	GAFISUD

- B. If an evaluation has been carried out, please indicate the date the most recent evaluation was approved.

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- C. 1. Indicate if a follow-up process was carried out after this evaluation.

Y

N

<input type="checkbox"/>	<input type="checkbox"/>
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2. If the answer is "yes", indicate the current status of this follow-up process.

- D. Indicate if, since this last report (evaluation or follow-up), changes have been made in your national system for controlling money laundering.

Y

N

<input type="checkbox"/>	<input type="checkbox"/>
--------------------------	--------------------------

- E. If so, please provide details regarding these changes:

F. Observations:

G. Agency and 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, amended in 1999.

SECTORS OBLIGATED TO REPORT SUSPICIOUS TRANSACTIONS

MONEY LAUNDERING

PURPOSE OF INDICATOR

To Determine the Existence of the Obligation to Report Suspicious Transactions to Repress Money Laundering

A. In your country, which sectors and activities are obligated to submit suspicious transaction reports⁽¹⁾ to prevent money laundering?

	Y	N	N/A	Regulated Sector/Activity	Title, articles, and date of the law or reason not applicable
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Banking sector ⁽²⁾	
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Offshore banks ⁽³⁾	
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Currency exchange sector	
4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Stock exchanges	
5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Insurance sector	
6.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Transfer of funds, cash or valuables	
7.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Real estate	
8.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Lawyers	
9.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Notaries	
10.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Accountants	
11.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Casinos and gambling	

12. Other sectors⁽⁴⁾ (please specify)

B. In your country, which sectors or activities are subject to the obligation to submit objective information reports⁽⁵⁾ to prevent money laundering.

C. Observations:

D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Suspicious transactions** refers to transactions that because of their characteristics, volume or frequency do not conform to a client's profile, the course of his/her business or that of the relevant sector. This type of report is classified as subjective because it is sent in accordance with the criteria of the person in charge of this issue at the respective institution.

⁽²⁾ **Banking sector** refers to 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 legal entities of other countries, under the special system of the country in which they are located.

⁽⁴⁾ **Other sectors** may include the sale or transfer of firearms, precious metals, art, archeological objects, jewelry, automobiles, boats, planes, or other collectible goods; and travel or entertainment services, and athletic trades.

⁽⁵⁾ **Objective reports** refers to reporting of transactions that meet predefined characteristics in your legislation; for instance, cash transactions in excess of a legally determined amount.

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**EXISTENCE OF A FINANCIAL INTELLIGENCE UNIT
RESPONSIBLE FOR MONEY LAUNDERING PREVENTION**

MONEY LAUNDERING

**PURPOSE OF
INDICATOR**

To determine the existence of a financial intelligence unit

- A. 1. In your country, is there a Financial Intelligence/Analysis/Investigation Unit (FIU)⁽¹⁾ responsible for money laundering prevention?

Y

N

2. Please indicate the title and publication date of the law authorizing its establishment.

3. Please indicate if it is autonomous or if it is under the authority of another state agency.⁽²⁾ If so, provide the name of the agency.

4. Please provide the annual budget assigned to your country's Financial Intelligence Unit.

5. Please indicate the functions of the Unit.

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Receives unusual or suspicious transaction reports
b.	<input type="checkbox"/>	<input type="checkbox"/>	Requests additional information
c.	<input type="checkbox"/>	<input type="checkbox"/>	Analyzes suspicious transaction reports
d.	<input type="checkbox"/>	<input type="checkbox"/>	Communicates conclusions with relevant authorities
e.	<input type="checkbox"/>	<input type="checkbox"/>	Collaborates with relevant authorities on judicial investigations
f.	<input type="checkbox"/> Other (specify)		

B. 1. Please indicate if the Financial Intelligence Unit is a member of the Egmont Group⁽³⁾.

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

2. Indicate if it has access to the Egmont Group's secure network.

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

3. Please indicate the number of information requests received and responses sent through the Egmont Group's secure network.

Year	Information requests received	Responses to information requests sent
2006		
2007		
2008		
2009		

4. Please indicate the number of persons or legal entities included in the responses to the aforementioned requests.

- C. Observations:

- D. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **A Financial Intelligence/Analysis/Investigation Unit (FIU/FAU)** is a centralized national entity that, in order to combat money laundering, is responsible for receiving (and, if authorized, requesting), analyzing, and providing relevant authorities with financial information (i) related to funds suspected to be of an illicit origin and possibly financing for terrorism, or (ii) required by national legislation for the purpose of combating money laundering and financing of terrorism.

⁽²⁾ **Other state agency** can be a ministry, the Public Prosecutor's Office, the judiciary, the Superintendency of Banks, etc.

⁽³⁾ **Egmont Group**: international body that brings together government entities, comprised of Financial Intelligence Units (FIUs), creating an international network to exchange information, knowledge and technology, in order to combat money laundering and the financing of terrorism.

LIMITATIONS ON LIFTING BANK SECRECY ⁽¹⁾ AND OBTAINING OTHER CONFIDENTIAL INFORMATION

MONEY LAUNDERING

PURPOSE OF
INDICATOR

To facilitate access to information protected by confidentiality laws

- A. 1. In your country, do limitations exist on obtaining financial documents and registers in money laundering cases?

Y N

2. If the answer is “yes”, in what settings are these limitations in effect?

a. In administrative settings⁽²⁾

b. In judicial settings

3. In your country do limitations exist on obtaining documents in money laundering cases subject to secrecy, confidentiality or reserve agreements, for instance, in relation to taxation, currency exchange, the stock market, etc.

Y N

4. If so, indicate the sectors that impose limitations on obtaining documents in money laundering cases.

B. Observations:

C. Agency and official providing information:

Definitions and Explanations

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

⁽²⁾ **Administrative settings:** for example, it might be considered a limitation if the FIU does not have access to information protected by bank secrecy, but it is not considered a limitation if the police do not have direct access.

OPERATION OF AN ENTITY 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 existence of a system to administer goods seized and/or forfeited in money laundering cases**

A. 1. In your country, is there an entity 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 its name:

3. Please indicate if it is autonomous or if it is under the authority of another agency. If so, provide the name of the agency.

4. Please indicate the title and publication date of the law authorizing its establishment:

5. Please indicate if the entity has manuals for the management of assets seized.

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

B. 1. Does your country's constitutional legislation include mechanisms concerning the legal disposition of goods associated with illicit drug trafficking activities?

Y N N/A

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2. If the answer is "yes", please specify the mechanism and its legal basis.

3. Please indicate if your country's legislation permits the presale and/or disposition of seized goods.

Y N

--	--

C. Observations:

D. Agency and official providing information:

Definitions and 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 1988 - "confiscation", which includes forfeiture where applicable, is the permanent deprivation of property by order of a court or other competent authority.

PURPOSE OF INDICATOR

To measure the effectiveness of money laundering investigations and judgment

- A. 1. How many investigations were initiated through a Financial Intelligence Report⁽¹⁾ submitted by the Financial Intelligence Unit during the years 2006–2009?

Year	Investigations initiated through a Financial Intelligence Report
2006	
2007	
2008	
2009	

2. How many penal proceedings in total were initiated for money laundering offenses during the years 2006–2009?

Year	Penal proceedings initiated for money laundering offenses
2006	
2007	
2008	
2009	

3. How many persons were formally charged in investigations initiated during the years 2006–2009?

Year	Number of persons formally charged
2006	
2007	
2008	
2009	

4. How many persons were convicted during the years 2006–2009? Specify regarding final sentences.⁽²⁾

Year	Number of persons convicted
2006	
2007	
2008	
2009	

B. Observations:

C. Agency and official providing information:

Definitions and Explanations

(1) **Financial Intelligence Report:** document that contains the results of the Financial Intelligence Unit's analysis of information collected through its databases and/or suspicious and unusual transaction reports regarding money laundering or financing of terrorism. The Financial Intelligence Report is presented to the relevant authorities or final users, in accordance with their legal responsibilities, as it is potentially significant for the decision-making process in corresponding investigations.

(2) **Final sentence:** a confirmed sentence that is no longer pending, has been agreed to by all parties, and will be executed.

PURPOSE OF INDICATOR

Evaluate the legal institutional framework that allows/facilitates judicial cooperation among the countries in the region to suppress illicit drug trafficking and money laundering

- A. 1. Under your country's laws, is extradition possible for drug trafficking and money laundering crimes?

Y	N	
<input type="checkbox"/>	<input type="checkbox"/>	Illicit drug trafficking
<input type="checkbox"/>	<input type="checkbox"/>	Money laundering

2. If the answer is "yes", please indicate if extradition of nationals is permitted.

Y	N	
<input type="checkbox"/>	<input type="checkbox"/>	Illicit drug trafficking
<input type="checkbox"/>	<input type="checkbox"/>	Money laundering

- B. Has your country complied with the obligation to designate, in accordance with the international legal framework, a competent authority to receive, respond to and transmit extradition requests?

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
<input type="checkbox"/>	Not party to the 1988 Vienna Convention.

C. Do your country's national laws provide for persons whose extradition has been denied in a drug trafficking or money laundering case to be tried for the offense in your country?

Y	N	
<input type="checkbox"/>	<input type="checkbox"/>	Illicit drug trafficking
<input type="checkbox"/>	<input type="checkbox"/>	Money laundering

D. 1. Do your country's national laws permit the provision of reciprocal judicial assistance?

<input type="checkbox"/>	Yes
<input type="checkbox"/>	No
<input type="checkbox"/>	Not party to the 1988 Vienna Convention.

2. If the answer is "yes", please indicate:

	Y	N	
a.	<input type="checkbox"/>	<input type="checkbox"/>	Taking evidence or statements from persons
b.	<input type="checkbox"/>	<input type="checkbox"/>	Effecting service of judicial documents
c.	<input type="checkbox"/>	<input type="checkbox"/>	Executing searches and seizures
d.	<input type="checkbox"/>	<input type="checkbox"/>	Examining objects and sites
e.	<input type="checkbox"/>	<input type="checkbox"/>	Providing information and evidentiary items
f.	<input type="checkbox"/>	<input type="checkbox"/>	Providing original or certified copies of relevant documents and records, including bank, financial, corporate or business records
g.	<input type="checkbox"/>	<input type="checkbox"/>	Identifying or tracing proceeds, property, instrumentalities or other items for evidentiary purposes

E. If permitted under national law, does your country use secure technological resources⁽¹⁾ to facilitate communication among authorities directing criminal investigations?

Y

N

F. 1. Is bank secrecy or other confidentiality laws an obstacle/impediment to providing reciprocal judicial assistance?

Yes

No

Not party to the 1988 Vienna Convention.

2. If so, please explain.

G. 1. Do your country's national laws permit granting a controlled delivery request?

Y

N

2. If the answer is "yes", do penal and/or procedural laws exist that permit the use of controlled delivery?

Y

N

Penal law

Procedural law

H. 1. Does your country have a mechanism to recover assets forfeited abroad?

Y N

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2. If the answer is yes, please indicate the name and legal foundation of your mechanism

I. STATISTICS

1. Number of active extradition requests made regarding illicit drug trafficking and money laundering cases.

Active extradition requests regarding illicit drug trafficking cases				Active extradition requests regarding money laundering cases			
2006	2007	2008	2009	2006	2007	2008	2009

2. Number of passive extradition requests made regarding illicit drug trafficking and money laundering cases.

Passive extradition requests regarding illicit drug trafficking cases				Passive extradition requests regarding money laundering cases			
2006	2007	2008	2009	2006	2007	2008	2009

3. Number of active extradition requests answered regarding illicit drug trafficking and money laundering cases.

Active extradition requests answered regarding illicit drug trafficking cases				Active extradition requests answered regarding money laundering cases			
2006	2007	2008	2009	2006	2007	2008	2009

4. Number of passive extradition requests answered regarding illicit drug trafficking and money laundering cases.

Passive extradition requests answered regarding illicit drug trafficking cases				Passive extradition requests answered regarding money laundering cases			
2006	2007	2008	2009	2006	2007	2008	2009

5. Number of requests for reciprocal judicial assistance made regarding illicit drug trafficking and money laundering cases.

Requests for reciprocal judicial assistance made regarding illicit drug trafficking cases				Requests for reciprocal judicial assistance made regarding money laundering cases			
2006	2007	2008	2009	2006	2007	2008	2009

6. Number of requests for reciprocal judicial assistance answered regarding illicit drug trafficking and money laundering cases.

Requests for reciprocal judicial assistance answered regarding illicit drug trafficking cases				Requests for reciprocal judicial assistance answered regarding money laundering cases			
2006	2007	2008	2009	2006	2007	2008	2009

J. Observations:

K. Agency and official providing information:

Definitions and Explanations

⁽¹⁾ **Secure technological resources** refers to computerized communication networks, encrypted or otherwise able to ensure the authenticity of the user, between organizations and/or relevant services, for the purpose of facilitating the secure and rapid exchange of information for reciprocal judicial assistance.