



World Anti-Doping Code

Code Compliance Questionnaire (CCQ) User Guide

Version 3

April 2018

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1. Introduction

The Code Compliance Questionnaire ("Questionnaire") is a tool developed by WADA to measure compliance of signatories to the mandatory requirements of the World Anti-Doping Code (Code) and International Standards. The Questionnaire has been developed into an online system to assist signatories in providing responses and data to a series of questions. The questions have been categorized into 7 sections, namely; 1. ADAMS, Budgeting and Reporting; 2. Testing and Investigations; 3. Results Management; 4. Therapeutic Use Exemptions (TUE); 5. Education; 6. Data Privacy and 7. Anti-Doping Organization (ADO) information.

The Questionnaire has been developed in collaboration with a number of signatories and other organizations such as iNADO, Council of Europe and UNESCO. WADA's independent Compliance Review Committee (CRC) has also provided oversight of the development to ensure that the online system is fit for purpose and user friendly. The online system can be accessed anywhere so long as the user has an internet connection and is compatible on computers, tablets and smartphones. The Questionnaire is also available in English or French and users can switch between the two languages as required (see section 6.6 on page 21 for more information).

Signatories have 3 months to complete and submit the Questionnaire and are required to answer questions based upon their anti-doping programs for the **2016** calendar year (January – December 2016). In some questions the term 'reporting period' is used. This is the same as the 2016 calendar year.

Signatories should answer the questions honestly in order for WADA to conduct an accurate review of their anti-doping program.

2. Registration

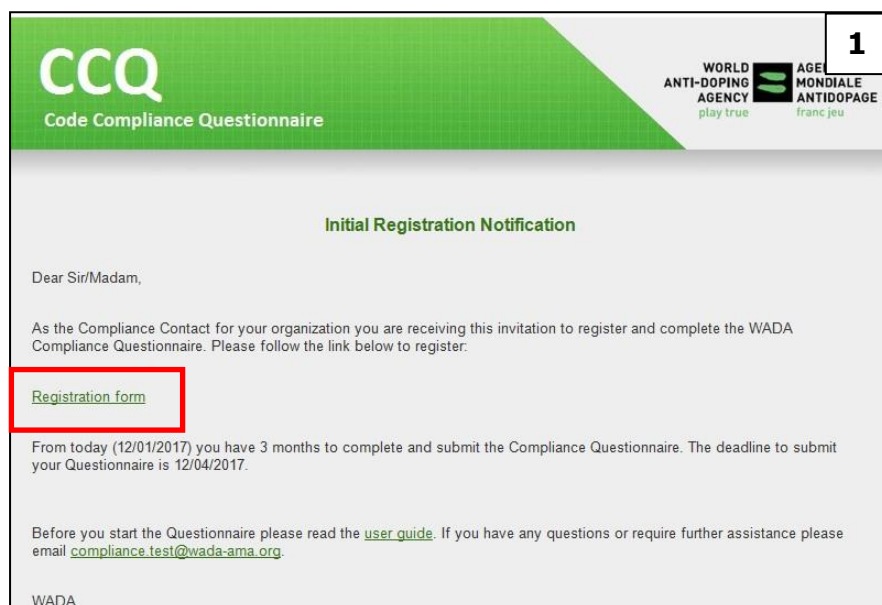
2.1 The Role of the Compliance Contact

WADA together with each signatory has established an individual who will act as a **Compliance Contact**. The Compliance Contact is WADA's main point of contact for the Questionnaire.

The registration process is initiated when WADA emails an invitation to the Compliance Contact titled; '**Initial Registration Notification**'.

This individual will have administration rights within the online system and is therefore able to create other users who can also access and complete the Questionnaire on behalf of the signatory. The Compliance Contact is the only user in each signatory who can submit the completed Questionnaire (for more information, see section 7. Submitting a Completed Questionnaire on page 22).

2.2 Registering users



CCQ
Code Compliance Questionnaire

WORLD ANTI-DOPING AGENCY play true
AGENCE MONDIALE ANTIDOPAGE franc jeu

1

Initial Registration Notification

Dear Sir/Madam,

As the Compliance Contact for your organization you are receiving this invitation to register and complete the WADA Compliance Questionnaire. Please follow the link below to register:

[Registration form](#)

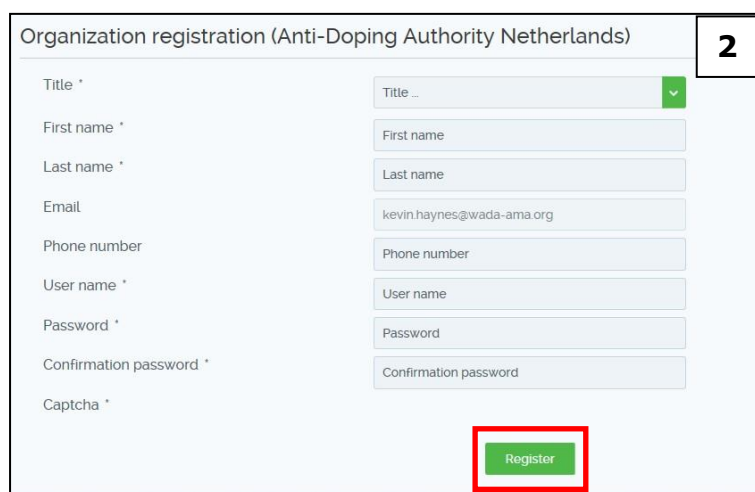
From today (12/01/2017) you have 3 months to complete and submit the Compliance Questionnaire. The deadline to submit your Questionnaire is 12/04/2017.

Before you start the Questionnaire please read the [user guide](#). If you have any questions or require further assistance please email compliance.test@wada-ama.org.

WADA

Once the above notification (see screenshot 1) is received, the Compliance Contact can complete the registration process by clicking **Registration form**. The Initial Registration Notification also includes important information, including; the deadline for completing and submitting the Questionnaire, access to this user guide and the contact email should the signatory require assistance. **Note: Screenshot 1 includes the test sites email address, the correct email address for any assistance is compliance@wada-ama.org. See section 9 on page 22 for more information.**

The registration form contains a **captcha** step as an enhanced security feature and must be completed correctly in order to verify any user. Once completed the Compliance Contact clicks **Register** (see screenshot 2 below).



Organization registration (Anti-Doping Authority Netherlands)

2

Title *
First name *
Last name *
Email
Phone number
User name *
Password *
Confirmation password *
Captcha *

[Register](#)

If the details are accepted a message will appear confirming that the registration was completed successfully and the 'Go to Login' button will also appear (see screenshot 3 on

page 5). An email will also be sent to the Compliance Contact confirming that the registration was successful.

To access and start completing the Questionnaire the user can click on **Go to Login** (see screenshot 3 below).

3

The registration was successfully completed. You will receive an email confirming your registration. You can now use the 'Go to login' button to go to the Code Compliance Questionnaire application.

Organization registration (Anti-Doping Authority Netherlands)

Title * Mr

First name * Kevin

Last name * Haynes

Email kevin.haynes@wada-ama.org

Phone number Phone number

User name * kevinhaynes1

Password *

Confirmation password *

Go to login

Alternatively the Questionnaire can be accessed by clicking on the link in the email sent to the Compliance Contact (see below in screenshot 4).

4

Welcome to the WADA Compliance Questionnaire

Thank you for registering with the WADA Compliance Questionnaire application.

Before you start completing the Questionnaire please read the [user guide](#).

Please click [here](#) to login and complete the Questionnaire.

Thank you for your cooperation and your ongoing commitment to doping-free sport.

The Compliance Contact will then be taken to the **log in** page (see screenshot 5 below) where their user name and password can be entered to gain access to the home page.

5

WADA
play true

Code
Compliance
Questionnaire

User name

Password

Log in

Forgot password ?

2.3 Reminders to register and complete the Questionnaire

Once the initial invite to register has been issued, failure to register will be monitored by WADA and reminders will be sent to the Compliance Contact until the registration process is completed.

Once a signatory has registered, additional reminders will be sent to the Compliance Contact reminding them of the deadline to submit their completed Questionnaire.

2.4 Forgot password

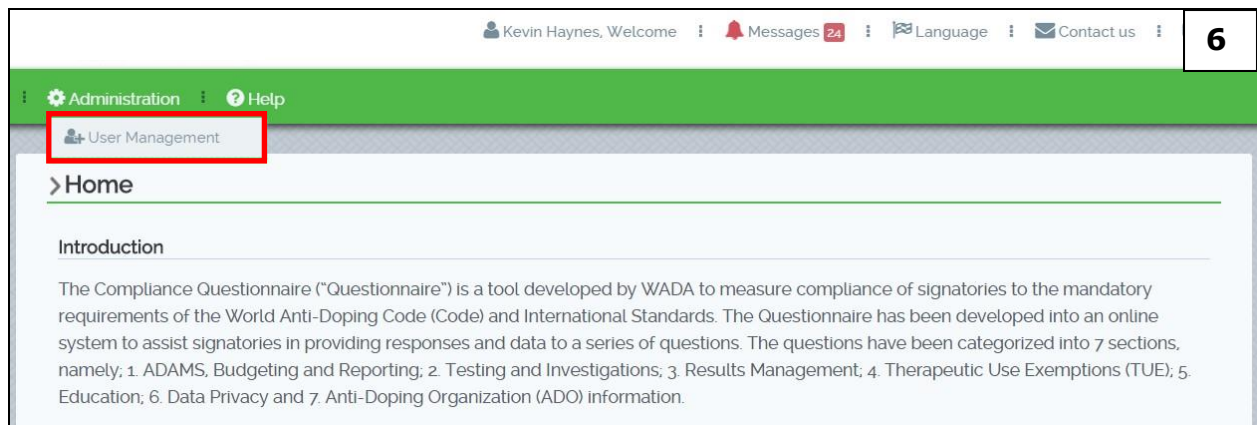
If any user forgets their password they can select a new password by clicking on the **Forgot password?** button on the log in page (see screenshot 5 on page 5).

3. User accounts

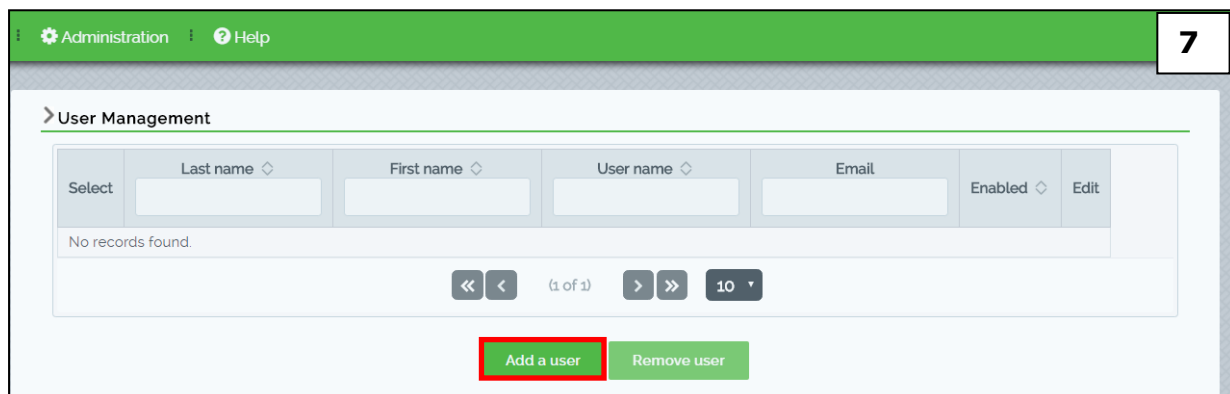
Each signatory has the ability to create multiple user accounts within their organization to allow different individuals to complete the Questionnaire.

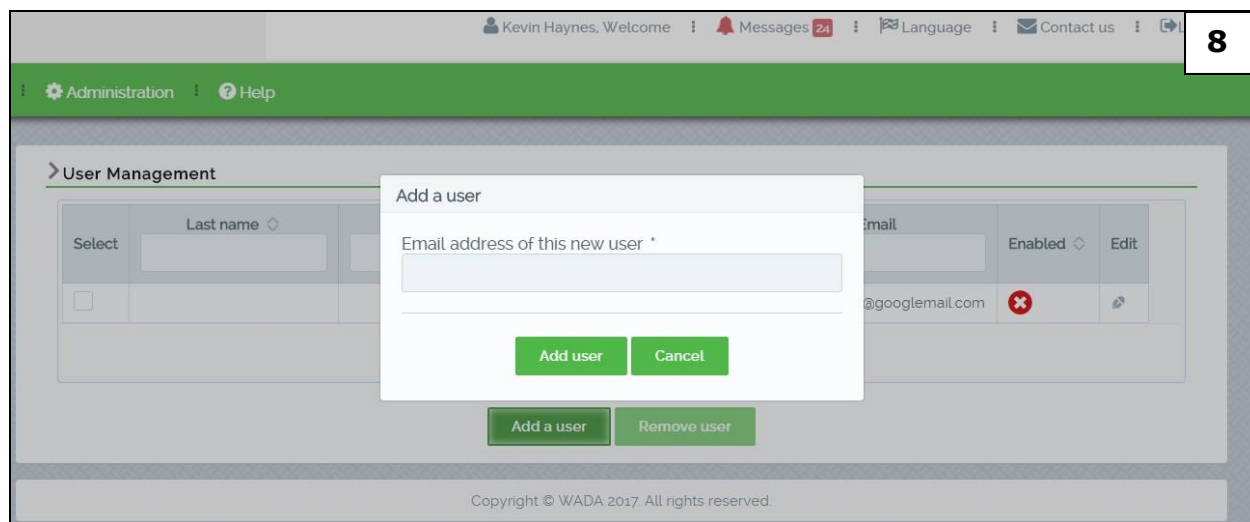
The Compliance Contact is the only user that can create additional user accounts as they have administration rights within the system.

To create a new user the Compliance Contact should complete the following instructions. First, click on the **Administration** button on the menu and then the **User Management** option (see below in screenshot 6).



Once completed the following page appears. The Compliance Contact then clicks on the **Add a user** button (see screenshot 7 below) and enters the email address of the new user and confirms by clicking **Add user** in the pop up box which will appear (see screenshot 8 on page 8).





Once the **Add User** button is clicked an invitation is automatically sent to the new user's email address who can then register themselves as described in the **Registration** section on page 3.

The Compliance Contact can create as many accounts for their organization as required and also remove them (if for example a user leaves the organization).

4. Completing the Questionnaire

Each time a user logs into the system they will be taken to the home page (see screenshot 9 below). The home page contains an introduction to the Questionnaire, a link to this user guide and a legal statement. The home page also contains the overall Questionnaire completion percentage which alerts the user to the progress status of the signatory.

To access the Questionnaire the user must select **Open Questionnaire** (highlighted in the red box in screenshot 9 below).

9


Introduction

The Compliance Questionnaire ("Questionnaire") is a tool developed by WADA to measure compliance of signatories to the mandatory requirements of the World Anti-Doping Code (Code) and International Standards. The Questionnaire has been developed into an online system to assist signatories in providing responses and data to a series of questions. The questions have been categorized into 7 sections, namely: 1. ADAMS, Budgeting and Reporting; 2. Testing and Investigations; 3. Results Management; 4. Therapeutic Use Exemptions (TUE); 5. Education; 6. Data Protection and 7. Anti-Doping Organization (ADO) Information.

[Compliance Questionnaire User Guide](#)

Legal statement

This questionnaire is about the practices of your Anti-Doping Organization (ADO). WADA is not seeking detailed information on any specific individual athlete or case. To the extent you provide personal data to us, such as your contact details, we will use this data only for the purpose of analyzing questionnaire responses and contacting you and your ADO to communicate about this questionnaire and your responses to it.


Open questionnaire

4.1 Council of Europe consent to share data

The first time a user from a **European** National Anti-Doping Organization (NADO) accesses the Questionnaire a pop up box will appear requesting consent to share data contained in their Questionnaire submission with the Council of Europe (see screenshot 10 on below). The user can select either yes or no according to their preference. **Note this will only appear for European NADO users.**

10

Kevin Haynes, Welcome | Language | Contact us

AdministrationHelp

1
ADAMS, Budgeting and Reporting

2
Testing & Investigations

3
Results

4
TUE

5
Education

6
Data Privacy

7
Additional ADO info

8
Summary

ADAMS, Budgeting and Reporting

0 %

Save

Questionnaire mode Edit On

1. What was your annual anti-doping budget for the 2016 calendar year? (Please enter the amount and select the currency)

Select a currency ...

2. How is the anti-doping program of your organization funded? Please select all that apply.

☐ Government

WADA Compliance Questionnaire COE Access Agreement

With respect to the cooperation between the World Anti-Doping Agency and the Council of Europe on anti-doping matters, do you provide consent on behalf of your organization for the Council of Europe to view your responses and documentation related to this Compliance Questionnaire?

Yes, I consent

No, I don't consent

Incomplete answers Off

WADC 23.3

4.2 Opening and completing a Questionnaire

After clicking on **Open Questionnaire** the user will be taken to section 1 of the Questionnaire; ADAMS, Budgeting and Reporting (see screenshot 11 below).

This screenshot shows the top of the questionnaire interface. At the top, there is a user profile for Kevin Haynes, a messages icon with 24 notifications, and links for Language, Contact us, and Logout. Below this is a green navigation bar with 'Administration' and 'Help' links. The main area features a row of eight numbered tabs: 1. ADAMS, Budgeting and Reporting (selected), 2. Testing & Investigations, 3. Results Management, 4. TUE, 5. Education, 6. Data Privacy, 7. Additional ADO Info, and 8. Summary. Below the tabs, the selected section 'ADAMS, Budgeting and Reporting' is shown with an estimated time of 10-20 minutes (0/7) and a progress bar at 0%. A 'Save' button is present. Below the progress bar, there is a toggle for 'Questionnaire mode Edit' (On) and a lock status 'Locked by Kevin Haynes'. A toggle for 'Incomplete answers' is set to 'Off'. The first question is: '1. What was your annual anti-doping budget for the 2015 calendar year? (Please enter the amount and select the currency)'. It includes a 'WADC 23.3' icon and a 'Select a currency...' dropdown menu.

The Questionnaire has been designed from the perspective of the user. The flow of questions is designed to be intuitive and follows the logical flow of the Code and International Standards for each section.

The user can decide which sections to complete and in what order by selecting the sections numbered 1 to 8 across the top of the Questionnaire (see screenshot 11 above). The only section that must be completed sequentially is in Testing and Investigations as some sections are linked (these refer to out-of-competition testing). Users are required to complete section 2.1 *Risk Assessment and Test Distribution Planning (TDP)* before completing sub section 2.5 *Notification, Preparing and Conducting the Sample Collection*. Instructions are provided on the top of section 2.5 (see the message in the red box in screenshot 12 below).

This screenshot shows the 'Testing & Investigations' section of the questionnaire. The top navigation bar is the same as in screenshot 11, but tab 2, 'Testing & Investigations', is now selected. Below the tabs, the section title is 'Testing & Investigations : Notification, Preparing and Conducting the Sample Collection' with an 'Estimated time' field. On the left, there is a list of sub-sections: 2.1 Risk Assessment and Test Distribution Planning (TDP), 2.2 Blood Testing, 2.3 Athlete Biological Passport (ABP) modules, 2.4 Registered Testing Pool (RTP) and Whereabouts, and 2.5 Notification, Preparing and Conducting the Sample Collection. A red box highlights a message at the top of section 2.5: 'Please complete section 2.1 before starting this section as the questions are linked.' Below this message, question 49 is displayed: '49. Do you provide your Sample Collection Personnel (SCP) with official documentation and appropriate identification for testing? (ISTI 5.3.3)'. Question 50 is also visible: '50. How do you validate the identity of the athlete selected to provide a sample? Please select all'. It has several checkboxes: Photo ID, Team sheet/start list/shirt number, Third party ID, Photo at the time of test, and Other.

For the larger sections of Testing and investigations and Results Management, sub sections have been created to categorize questions accordingly. Each sub-section can be accessed by selecting on the sub-section panels on the left hand side of the screen (see screenshot 13 below).

Alternatively, to move to the next section or sub-section, the user can click on the arrow to the left of the section headers (marked 1) or at the end of each section (marked 2) as shown in screenshot 14 below.

The Questionnaire is dynamic in nature and a signatory is only required to answer questions specific to their anti-doping program. For example, if a signatory does not have an Athlete Biological Passport (ABP) program, once they tick **no** to question 17 in the Testing and Investigations section they will not see any more questions relating to ABP. Due to this specificity the time taken to complete the Questionnaire will vary considerably between signatories.

As a result users may observe that questions are not sequential and some question numbers do not appear. Users should continue to answer the questions as they appear on the screen.

To illustrate this, if the user answers no to question 1 in Testing and Investigations, then 1.2 appears but question 2 is skipped. The next question to answer is 3 (see screenshot 15 below).

Testing & Investigations : Risk Assessment and Test Distribution Planning (TDP) Estimated time : 30 min. 0 % 15

Incomplete answers

2.1 Risk Assessment and Test Distribution Planning (TDP)

2.2 Blood Testing

2.3 Athlete Biological Passport (ABP) modules

2.4 Registered Testing Pool (RTP) and Whereabouts

2.5 Notification, Preparing and Conducting the Sample Collection

2.6 Sample Collection Personnel (SCP) Training & Accreditation

1. Have you conducted a full risk assessment as outlined in Article 4.2. of the International Standard for Testing & Investigations (ISTI) for the sports/disciplines within your jurisdiction ? ☐ Yes ☒ No

ISTI 4.2.1

1.2 Why did you not undertake a risk assessment. Please select all that apply.

☐ Risk assessment is in progress

☐ We do not have sufficient data in order to undertake a thorough risk assessment

☐ We were not aware that this was a requirement

☐ Lack of expertise in the organization

☐ This was not a priority

☐ Other

3. Please provide a copy of your initial testing plan and a final report of your completed tests for the reporting period. Including:

a. In Competition/Out-Of-Competition tests (numbers and percentages (%)).

Alternatively, if the user answers yes to question 1, they are then required to answer question 1.1 and then question 2 (see screenshot 16 below).

Testing & Investigations : Risk Assessment and Test Distribution Planning (TDP) Estimated time : 30 min. 0 % 16

Incomplete answers

2.1 Risk Assessment and Test Distribution Planning (TDP)

2.2 Blood Testing

2.3 Athlete Biological Passport (ABP) modules

2.4 Registered Testing Pool (RTP) and Whereabouts

2.5 Notification, Preparing and Conducting the Sample Collection

2.6 Sample Collection Personnel (SCP) Training & Accreditation

2.7 Security & Post Test

1. Have you conducted a full risk assessment as outlined in Article 4.2. of the International Standard for Testing & Investigations (ISTI) for the sports/disciplines within your jurisdiction ? ☒ Yes ☐ No

ISTI 4.2.1

1.1 Please submit your risk assessment.

+ Attach

No documents.

2. Have you developed your Test Distribution Plan (TDP) based on your risk assessment ? ☒ Yes ☐ No

ISTI 4.1.3

3. Please provide a copy of your initial testing plan and a final report of your completed tests for the reporting period. Including:

a. In Competition/Out-Of-Competition tests (numbers and percentages (%)).

On a similar note, there are some questions specific to either International Federations (IFs) or National Anti-Doping Organizations (NADOs). For example in the Results Management section, sub section 3.1, **Compliance of National Federation Rules** is a requirement for IFs only. NADOs **will not** see this sub-section in their Questionnaire.

4.3 Regularly saving your work

Users are encouraged to save their work as they progress through the Questionnaire. This can be done by selecting **save** either at the top of the page or at the end of each section (see screenshot 17 on page 13). Pressing save also updates the progress bar and the overall summary in section 8.

4.4 Automatic lock for editing

To prevent multiple users from the same signatory editing the same section of the Questionnaire and risk one user's work not saving as a result, an automatic lock feature has been built into the system. Once a user accesses a section of the Questionnaire and is the first person from that organization to enter the section, the section is automatically locked to prevent another user editing. A user will see their name in green text next to the Questionnaire mode Edit function (see the screenshot 18 below).

Once locked, only that user can edit and save that section. After 30 minutes of inactivity or if the user log's out, the user's work is saved and the lock is lifted so that it can be accessed by another user. Alternatively, if a user wants to remove their own lock on a section or a colleague requests that they remove the lock, the user can click on the **Questionnaire mode Edit** button on the top left corner of the Questionnaire to deactivate (see screenshot 18 below). The user will be requested to save their work before unlocking a section and can no longer make edits to that section.

If a colleague is already in a section the user will see 'Locked by [colleagues user name]' in red text and the user will not be able to make any edits to that section.

5. Different types of Questions

The Questionnaire contains different types of questions, designed to help the user provide the required responses and information in the most efficient manner. The different type of questions and the required action of a user include:

5.1 Yes/No/Not applicable

The most common type of question is a simple **yes or no** selection, sometimes accompanied with a third **not applicable** option (or an alternative e.g. **I do not know**). The user selects the appropriate answer by clicking on the circle next to the relevant option. Once selected the circle becomes green to highlight the option chosen (see screenshot 19 below).

1. Do you have a mechanism to ensure that all of your National Federations (NFs) have adopted rules compliant with the World Anti-Doping Code (WADC) ? WADC 20.3.2	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> I do not know	19
2. Have you established a procedure to ensure that all of your National Federations (NFs) have implemented those compliant rules, and are conducting a compliant anti-doping program, including the establishment of the relevant disciplinary panels if applicable ? WADC 20.3.2	<input checked="" type="radio"/> Yes <input type="radio"/> No	
3. When requested by WADA during the reporting period to assist in cases where communication with one of your NFs was required, did you provide appropriate and timely assistance ? WADC 20.3.2 WADC 20.3.13	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> Not applicable	

5.2 Multiple choice/single choice

Another type of question is multiple or single choice from a list of options. In these types of questions the user can either select a number of options presented (multiple choice) to best describe their response or a single choice from a number of options.

5.2.1 Multiple choice

Once selected the button next to the option becomes green with a white tick (see screenshot 20 on page 15). Multiple choice questions will have the prefix in the question **Please select all that apply** so that the user knows they can select more than one option if required.

<p>6. How do you provide anti-doping information ? Please select all that apply. ⓘWADC 18.2</p> <ul style="list-style-type: none"> <input checked="" type="checkbox"/> Presentations - Face to Face <input checked="" type="checkbox"/> E-learning <input checked="" type="checkbox"/> Webinars <input checked="" type="checkbox"/> Print Literature (distributed to target groups during face to face contact) <input checked="" type="checkbox"/> Print Literature (mailed to target group) <input type="checkbox"/> Website <input type="checkbox"/> Social Media (i.e. Facebook, Twitter, Instagram, etc.) <input type="checkbox"/> Mobile Applications (Apps) <input type="checkbox"/> Other 	20
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5.2.2 Single choice

Single choice questions appear in a similar way to yes/no questions (see screenshot 21 below).

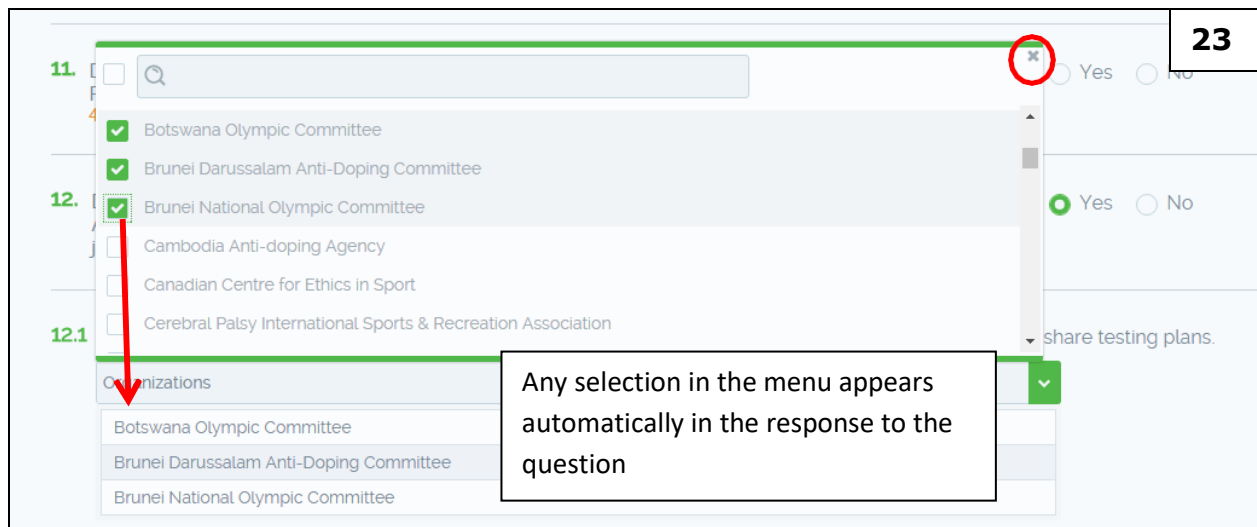
<p>7. What percentage (%) of your completed tests are conducted on athletes with an impairment ?</p> <p> <input type="radio"/> 0 % <input checked="" type="radio"/> 1-5 % <input type="radio"/> 6-9 % <input type="radio"/> More than 10 % </p>	21
--	-----------

5.3 Drop down menus

For questions that require the user to select from a large list of options (e.g. a list of organizations in question 12.1 of the Testing and Investigations section as shown in screenshot 22 below), the user is required to select the green square with the white down facing arrow (see highlighted in the red box in screenshot 22 below).

<p>12. Do you coordinate testing activities with any other International Federations (IFs) or National Anti-Doping Organizations (NADOs) to optimize testing plans for athletes under shared jurisdiction ? ⓘISTI 4.9.1</p> <p style="text-align: right;"><input checked="" type="radio"/> Yes</p>	22
<p>12.1 Please list the International Federations (IFs)/National Anti-Doping Organizations (NADOs) with which you share testing plans.</p> <div style="border: 1px solid #ccc; padding: 5px;"> <p>Organizations</p> <div style="border: 1px solid #ccc; height: 20px; margin-top: 5px;"></div> <p>No selection.</p> </div>	

Once selected the list will appear as a pop up and the user can then search and select as required (see screenshot 23 on page 16).



When a selection is made from the pop up box it will appear in the response box automatically. Similarly if an option is deselected it will be removed.

To close the list the user can either select the grey cross in the top right of the box (marked with the red circle above in screenshot 23) or click anywhere on the screen outside of the drop box.

5.4 Pick list

For some questions (e.g. 17.2 of the Testing and Investigations section) a user is required to select from a pick list in order to populate a table where relevant information can be provided.



In this example the user needs to select a sport and discipline prior to providing additional information. Sport is selected by clicking on the green box with the white down facing arrow (see the red circle highlighting the selection arrow in screenshot 24). The user can use the search box or scroll down to find the relevant sport. Once a sport is selected only the relevant disciplines appear for the user to select.

25

Hematological

17.2 How many athletes were in your Athlete Biological Passport (ABP) hematological program in the reporting period ?
Insert number and include athletes sport/discipline

Add

Sport/Discipline	No. of Athletes	No. of IC samples	No. of OOC samples	Total (IC and OOC)
Aquatics/ Swimming Sprint 100m or less	<input type="text" value=""/> <input style="background-color: #4CAF50; color: white; border: none; width: 20px;" type="button" value="+"/> <input style="background-color: #4CAF50; color: white; border: none; width: 20px;" type="button" value="-"/>	<input type="text" value=""/> <input style="background-color: #4CAF50; color: white; border: none; width: 20px;" type="button" value="+"/> <input style="background-color: #4CAF50; color: white; border: none; width: 20px;" type="button" value="-"/>	<input type="text" value=""/> <input style="background-color: #4CAF50; color: white; border: none; width: 20px;" type="button" value="+"/> <input style="background-color: #4CAF50; color: white; border: none; width: 20px;" type="button" value="-"/>	<input style="background-color: #4CAF50; color: white; border: none; width: 40px;" type="button" value="X"/>

Once a sport (e.g. Aquatics) and a discipline (e.g. Swimming Sprint 100m or less) have been selected the user can click on the **Add** button (highlighted in the red box in screenshot 25 above). Once **Add** is selected, the table is populated and the user can then add additional information as requested. The user can add as many additional lines to the table as required by repeating the steps above and if the user needs to remove a line for whatever reason they can click the green cross (highlighted in the red circle above in screenshot 25).

5.5 Uploading documents

Where requested users are required to upload a document to support their response to a question. Only the following file types can be uploaded: jpeg, pdf, txt, doc, docx, png, xlsx, xls, csv, ppt and pptx. The maximum file size of each individual document is 5MB.

To upload a document a user selects the green **Attach** button (see screenshot 26 below) and then selects a document from their own files.

26

1. Have you conducted a full risk assessment as outlined in Article 4.2 of the International Standard for Testing & Investigations (ISTI) for the sports/disciplines within your jurisdiction ?
☒ Yes
 ☐ No

ISTI 4.2.1

1.1 Please submit your risk assessment:

+ Attach

No documents.

Once uploaded the user can download or delete the document if required (see the highlighted icons in the red box in screenshot 27 on page 18). Users can upload more than one document if required by repeating the procedure above.

1.1 Please submit your risk assessment.

27

+ Attach

Risk assessment.docx

↓

×

5.6 Slider bars

Some questions require the user to provide numerical data through **slider bars** (see screenshot 28 below). The user selects the button on the slider and drags to the position which represents the correct value.

5. For the prohibited substances within the scope of the Technical Document for Sport Specific Analysis (TDSSA) what percentage are conducted ?

28

Erythropoiesis Stimulating Agent (ESA) - blood & urine

In-Competition (IC) 35 %

Out-of-Competition (OOC) 65 %

Total 100 %

Growth hormone (GH)

In-Competition (IC) 26 %

Out-of-Competition (OOC) 74 %

Total 100 %

In the example above in screenshot 28 where the total of **In-Competition** and **Out-of-Competition** must equal 100%, the user can slide and position either button first. Once the button is stopped the corresponding button will automatically move to the position that equals 100%.

There are also similar slider bar questions which do not need to equal a certain value. In these cases the user must move the buttons independently to the required value.

5.7 Free text boxes

Where an answer to a question requires some further explanation, free text boxes are available to users. Often free text boxes appear when the option **other** is selected in a multiple choice type of question. Users are encouraged to provide brief and concise answers in free text boxes in English or French.

5.8 Entering numerical data

Some questions require a number to be entered as a response. Users should type the number directly into the number box and if they need to adjust the number, use the +/- buttons (see screenshot 29 below).

No. of Athletes

No. of IC samples

No. of OOC samples

29

+

-

+

-

+

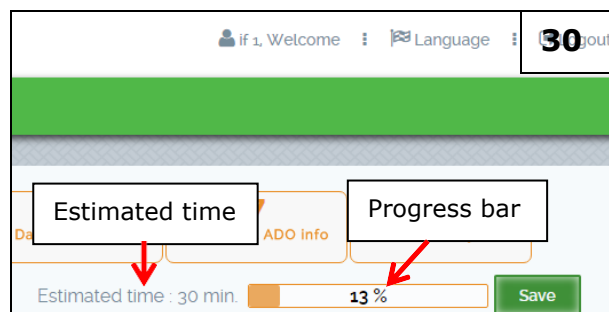
-

Number entered directly into number box

6. Other features

In order to enhance the user experience the system includes a number of other features that will assist signatories complete their questionnaires as efficiently as possible.

6.1 Progress bar and estimated time guide



In the top right corner of the Questionnaire (see screenshot 30) a progress bar percentage shows the user how far they have advanced through a section. The bar is updated every time a user clicks **save**. Users should note that because the Questionnaire is dynamic and more or less questions may appear based on their responses, the progress bar percentage may reduce, even if

the user is advancing through a section of the Questionnaire. In addition, an estimated time (or range) to complete a section is also available to allow users to plan their time accordingly. This range is static and is based on trial users' experience. Users should note that both of these features refer only to a section (e.g. Results Management) and not a sub- section (e.g. 3.3 Initial Review).

6.2 Summary page

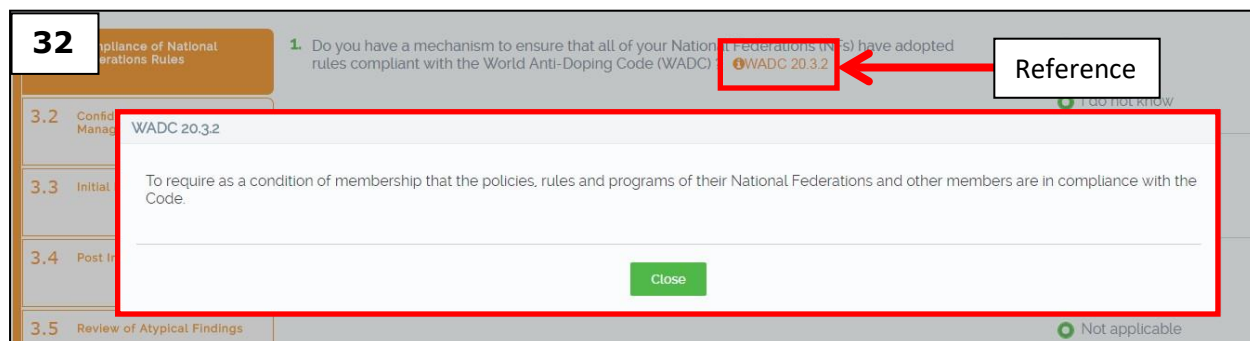
In section 8 of the Questionnaire a **Summary** page is available to show the signatories progress towards completing the Questionnaire. The overall progress bar and section progress circles reflect the last time the Questionnaire was saved (see screenshot 31 below). This is a visual tool which can be used by the Compliance Contact to monitor progress across their organization if other users have been delegated the responsibility of completing a section.



6.3 Code and International Standard references

For any question where there is a direct link to an article from the Code, an International Standard or an associate Technical Document, the relevant reference has been inserted (in orange) to assist signatories in answering the question.

The article can be accessed by selecting the reference (see screenshot 32 below). To remove the **pop up** the user can either click on the **close** button or click anywhere on the screen outside the box.

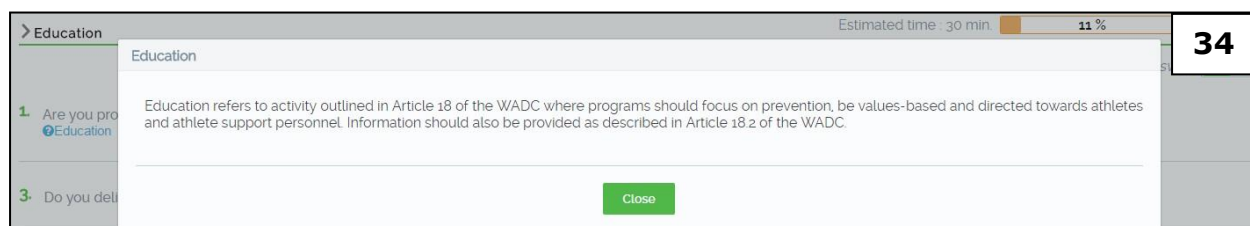


6.4 Definitions and useful links

Where a word is used in a question that requires further explanation a link is provided. Definitions can be identified where the defined word is underlined and can be accessed by selecting the highlighted blue word at the end of the question (see screenshot 33 below).



Once selected a pop up appears containing the full definition (see screenshot 34 below). The pop up can be closed by either pressing **close** or clicking anywhere on the screen outside of the pop up box.



In a similar way, further information or guidance to a question is available where there is green highlighted text after a question (see screenshot 35 below). Again this can be selected and will direct the user to a document or website which can assist the signatory answer the question.



6.5 Incomplete answer button

A feature to allow users to identify questions that have not been completed has also been included. The user by selecting this button will see any question(s) in that section highlighted in pink that have not been completed (see screenshot 36 on page 21). This enables the user to easily navigate to these questions and complete them accordingly. If a

user presses **save** after updating an incomplete question, the incomplete answer button is deactivated. To find more incomplete questions the user will be required to press the incomplete answer button again.

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1. Do you have a documented process for athletes to apply for a Therapeutic Use Exemption (TUE)?

2. Are the Therapeutic Use Exemption (TUE) application forms available on your website? **ISTUE 5.3**

2.1 Please provide the link:

3. Do you have a Therapeutic Use Exemption Committee (TUEC)? **ISTUE 5.2**

4. Does your Therapeutic Use Exemption Committee (TUEC) have at least 3 physicians? **ISTUE 5.2a**

Incomplete answer button

An incomplete answer highlighted pink

37

6.6 Language

The final feature designed to assist signatories is the availability of the Questionnaire in both English and French. Users can select the language option on the top of the page (see screenshot 37 below) and select either English or French. Users can choose to switch between the two languages at any time.

Kevin Haynes, Welcome

Language

Contact us

Logout

Administration

Help

English

French

37

7. Submitting a completed Questionnaire

Only when a Questionnaire is 100% complete can a signatory submit it to WADA for review. In addition, only the Compliance Contact will be able to submit, other delegated users will not have the 'submit button' in their account. If the progress bar is 99% or below the user can identify any unanswered questions by selecting the incomplete answer button for the relevant section (see section 6.5 on page 20).

Prior to pressing the submit button the Compliance Contact should ensure they are satisfied with the responses provided across the Questionnaire and conduct a final review.

Once the submit button is pressed no other changes will be permitted to the Questionnaire. It will be available to all users in a 'read-only' format from this point onwards.

Should a signatory demonstrate the need to amend an answer to a question or questions after it has been submitted the account can be re-accessed only in exceptional circumstances. A signatory would need to send an email to compliance@wada-ama.org and clearly state the reason for amending an answer and the specific question(s) they intend to update as a review of the Questionnaire by WADA may have commenced.

8. Follow-up and Corrective Action

Once a Questionnaire has been submitted, WADA will review the answers against the requirements of the Code and International Standards. Following the review, WADA will communicate, if relevant, a corrective action report including the corrective action to be taken and the relevant timeframes for implementation.

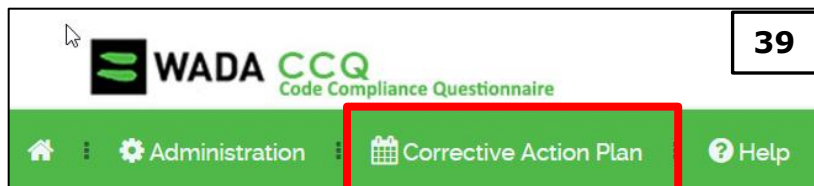
9. Support

Users can contact WADA at any point for support, whether technical questions relating to the performance of the Questionnaire or assistance in answering any question. Either select the 'contact us' option whilst logged into the Questionnaire (see screenshot 38 below) or email compliance@wada-ama.org



10. Corrective Action Report (CAR) and Corrective Action Plan (CAP)

As mentioned in section 8, once WADA has conducted a review of a Signatory's questionnaire a Corrective Action Report (CAR) will be issued. The Signatory's Compliance Contact will receive an email notification that a CAR is available to access. The Compliance Contact can either click on the link in the notification email or log into CCQ and click on the Corrective Action Plan (CAP) tab (see screenshot 39 below).



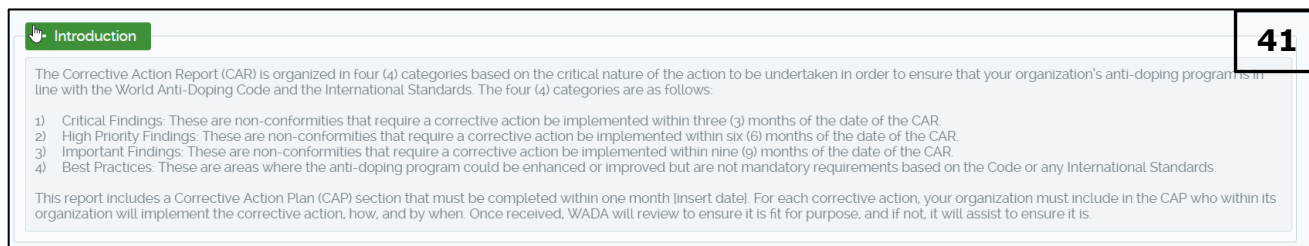
The user will then be taken to the CAP where they can review all the corrective actions. On the header the user will see a summary of corrective actions by category; critical, high priority and important, including the number of actions and the deadline date (see screenshot 40 below).



From here the user can either view their 'Corrective Actions', view the 'Best Practice' recommendations or go to the 'Summary'. In addition, the icons for saving, printing and downloading can also be accessed (see section 10.4).

10.1 Corrective Actions

Prior to viewing the corrective actions, the Signatory can read the 'Introduction' section which provides information pertinent to the review of the CAR and instructions on how to complete the CAP. See below in screenshot 41 for an example.



Corrective actions are by default displayed based upon the following criteria:

1. The section or sub-section order i.e. ADAMS, Budget and Report first, Testing and Investigations second etc.

2. The category of the non-compliance, i.e. critical, high priority and important

If the Signatory does not have any corrective actions in a section or sub-section then it will be blank.

10.1.1 Viewing Corrective Actions

The user can tailor the view of corrective actions to meet their own preference. In the area marked with 'A' in screenshot 42 below the user can select corrective actions based upon different criteria; either the category of the non-compliance or whether it has been marked as 'completed' or not by the signatory.

The way corrective actions are displayed in relation to the CAP text box can also be changed based upon the user's preference. As shown in screenshot 42 below, the CAP can be displayed alongside the corrective action by pressing the 'column view' button (marked 'B' below). If the user prefers the CAP to be displayed below the corrective action then the column view button can be left in the 'off' position (this is the default view option).

The screenshot displays a web application interface for managing corrective actions. At the top, a navigation bar contains six tabs: 'ADAMS, Budget & Report', 'Testing & Investigations' (active), 'Results Management', 'TUE', 'Education', and 'Data Privacy'. A red box labeled 'A' highlights a filter bar with checkboxes for 'Critical', 'High Priority', 'Important', 'Completed', and 'Uncompleted'. To the right of this bar is a 'Column view' button labeled 'B'. Below the filter bar, an 'Edit mode' toggle is labeled 'C'. The main content area shows a list of corrective actions. The first action, labeled 'D', is '1. Have you conducted a full risk assessment as outlined in Article 4.2 of the International Standard for Testing & Investigations (ISTI) for the sports/disciplines within your jurisdiction?'. Its answer is 'No'. The second action, labeled 'E', is '1.2 Why did you not undertake a risk assessment. Please select all that apply.' with the answer 'Lack of expertise in the organization'. Below these is a section for a corrective action for '1 - 1.2', labeled 'F', which includes a text description and a list of reference hyperlinks and files. To the right of this section is a 'Corrective Action Plan' box labeled 'G', which contains two buttons: 'Add a Reference Hyperlink' and 'Add a Reference File'. The entire screenshot is labeled '42' in the top right corner.

For each corrective action the following information is available in the CAR:

- the original question in the CCQ (marked 'D' in screenshot 42 above),
- the signatory's response (marked 'E' in screenshot 42 above),
- the corrective action, including any relevant hyperlinks or reference documents (marked 'F' in screenshot 42 above); and
- a corrective action plan free text box (marked 'G' in screenshot 42 above).

The only section that can be amended by a user is the corrective action plan free text box.

Before entering any text, the user needs to press the 'Edit mode' button (see 'C' in screenshot 42 above). In the CAP text box the signatory is requested to enter the following information:

- How they intend to implement the corrective action
- Who is responsible for completing the action (department or individual)

Should the signatory wish to provide any supporting information to explain their CAP then they can either add a hyperlink, for example, to their website, by clicking 'Add a Reference Hyperlink' or a document by clicking 'Add a Reference File'.

Each time the signatory saves text in a CAP text box the latest update is provided; including the user's name, time and date the update was made. See screenshot 43 below.

Corrective Action Plan | Updated on: Aug 08, 2017 22:34 By USER,NAME (ABCD) | Completed ☐

Risk Assessment will be conducted in line with article 4.2.1 of the ISTI.

Responsible department: Testing Department.

+ Add a Reference Hyperlink + Add a Reference File

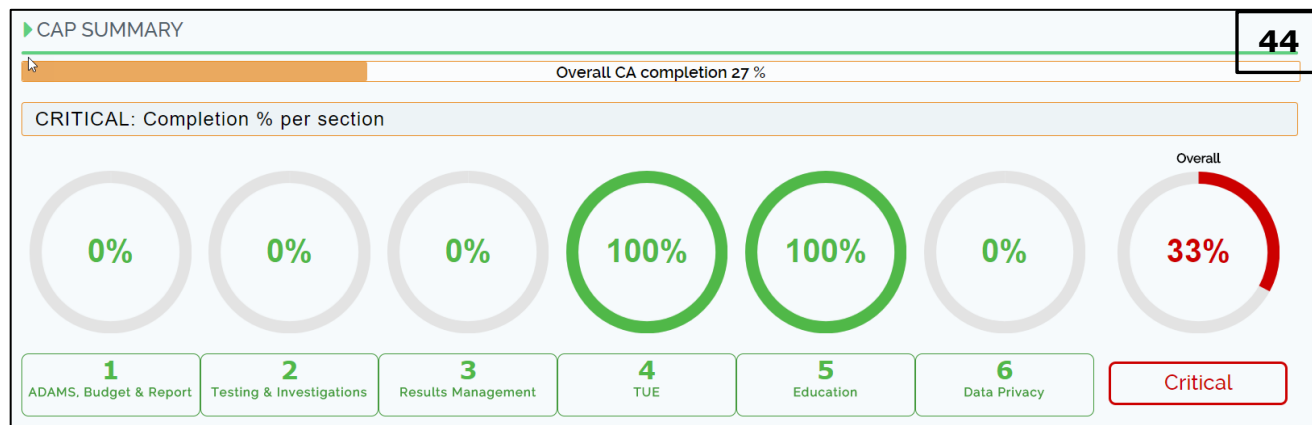
Once the signatory believes they have completed the corrective action they can tick the 'Completed' button (see screenshot 43 above). Note, the 'Completed' button can only be ticked if there is text in the CAP text box.

10.2 Best Practices

The 'Best Practices' section can be accessed by clicking on the 'Best Practices' button in screenshot 40, on page 23. Included in this section are recommendations to further improve a signatory's anti-doping program. Although these recommendations are not mandatory requirements of the Code or International Standards, WADA encourages signatories to consider the implementation of these recommendations during the corrective action exercise. Again, where possible, WADA has provided appropriate guidance material as either a hyperlink or reference file.

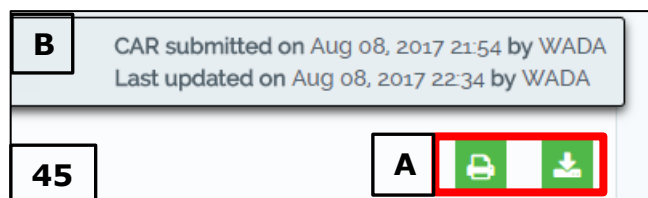
10.3 Summary

The 'Summary' section provides a visual progress tool for the signatory to assess their ongoing completion and implementation of corrective actions. Only when the 'Completed' tick box has been activated does the system update the progress against the total of corrective actions for each category (critical, high priority and important) and the 'Overall CA completion' percentage. See screenshot 44 below for an example of critical corrective action progress.



10.4 Downloading and Printing a CAP

Should a signatory wish to download or print a CAP at any stage, the functionality to create a PDF file and to print is available. The signatory must save their work prior to pressing the 'download' or 'print' button (see 'A' in screenshot 45 below). If the signatory has made changes but has not press save, then the download and print button will be disabled. This is to ensure that when download or print is activated it represents the latest, saved version of the CAP. An issued time and date stamp is provided in the top right-hand corner of the CCQ system (see 'B' in screenshot 45 below) and in the footer of the CAP PDF report, to assist signatories in monitoring their ongoing progress.



11. CAP "WADA Comments" and Sign Off

11.1 WADA Comments in the CAP

To assist Signatories implement the CAP a new feature called "WADA Comments" has been developed. WADA Comments contains feedback from WADA on information provided by the Signatory (see Screenshot 46 below).

The screenshot shows a web interface for the CAP (Corrective Action Plan) system. At the top, a green banner asks: "Do you use Anti-Doping Administration & Management System (ADAMS) to enter Doping Control Forms within 15 business days of the collection date ? WADC 14.5". Below this, a green bar indicates "Answer type: Yes/No" with a radio button selected for "Yes". The main content area is divided into three columns. The left column, titled "Corrective Action for", contains text about ADAMS reporting requirements. The middle column, titled "WADA Comments", is highlighted with a red box and contains the comment: "Corrective Action Plan is satisfactory." The right column, titled "Corrective Action Plan", contains a detailed explanation of the issue and the corrective action taken. At the bottom right, there are two green buttons: "Add a Reference Hyperlink" and "Add a Reference File". A small box with the number "46" is located in the bottom left corner of the screenshot.

11.2 CAP Sign off

Once a Signatory enters information into the CAP text box and marks as complete WADA will undertake a review to see if the information is satisfactory. If the information is not satisfactory WADA may provide feedback as detailed above in 11.1. If the information is satisfactory then WADA will effectively sign off the CAP by marking the "Signed off" button (Note, WADA can only 'Sign off' a CAP that has been marked as 'Completed' by the Signatory). This will make the CAP text box read only to all users, see screenshot 47 below.

The screenshot shows a close-up of the CAP interface. It features a green bar with the title "Corrective Action Plan" and two status indicators: "Signed-off" with a green checkmark and "Completed" with a green checkmark. Below this, it says "Last updated on Sep 24, 2017 15:48 GMT by". A small box with the number "47" is located in the bottom right corner of the screenshot.

Once all Corrective Action Plans in each category (Critical, High Priority and Important/Other) have been signed off by WADA then the Signatory will receive a notification from CCQ. When all categories have been signed off, then a final notification will be sent to the Signatory, confirming all Corrective Actions have been addressed.

In the Summary section, the Signatory can see their CAP summary completion percentage, both for CAPs the Signatory has marked as complete (A) and CAPs WADA has signed off (B). See below on page 28 in screenshot 48.

