



The World Anti-Doping Code

# **INTERNATIONAL STANDARD FOR TESTING AND INVESTIGATIONS**

**Draft Version 2.0**

December 2018

## ***International Standard for Testing and Investigations***

The World Anti-Doping Code *International Standard for Testing and Investigations* (ISTI) is a mandatory *International Standard* developed as part of the World Anti-Doping Program.

The *International Standard for Testing* (IST) was first adopted in 2003 and came into effect 1 January 2004. It was subsequently amended five times, the first time effective 1 January 2009, the second time effective 1 January 2011, the third time when the A-revised IST was approved in 2008, and came into effect 1 January 2009; a further revised IST was approved in 2011 and came into effect 1 January 2012. The ISTI, renamed the *International Standard for Testing and Investigations* (ISTI), was approved at the World Conference on Doping in Sport in Johannesburg by the WADA Executive Committee on 15 November 2013 and came into effect on 1 January 2015, the fourth time effective January 2017; and the fifth time effective March 2019. This version of the ISTI incorporates further revisions approved May 2016, and taking effect January 2017. The revised ISTI is effective as of 1 January 2021.

The official text of the *International Standard for Testing and Investigations* shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.

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# PART ONE: INTRODUCTION, CODE PROVISIONS AND DEFINITIONS

## 1.0 Introduction and scope

The *International Standard for Testing and Investigations* is a mandatory *International Standard* developed as part of the World Anti-Doping Program.

The first purpose of the *International Standard for Testing and Investigations* is to plan for intelligent and effective *Testing*, both *In-Competition* and *Out-of-Competition*, and to maintain the integrity and identity of the *Samples* collected from the point the *Athlete* is notified of the test to the point the *Samples* are delivered to the laboratory for analysis. To that end, the *International Standard for Testing and Investigations* (including its Annexes) establishes mandatory standards for test distribution planning (including collection and use of *Athlete* whereabouts information), notification of *Athletes*, preparing for and conducting *Sample* collection, security/post-test administration of *Samples* and documentation, and transport of *Samples* to laboratories for analysis.

The second purpose of the *International Standard for Testing and Investigations* is to establish mandatory standards for the efficient and effective gathering, assessment and use of anti-doping intelligence and for the efficient and effective conduct of investigations into possible anti-doping rule violations.

[The \*International Standard for Testing and Investigations\* will be supported by \*Technical Documents\*, produced by WADA, to provide enhanced details to assist \*Anti-Doping Organizations\* in fulfilling their duties under the World Anti-Doping Program. The \*Results Management\* processes which were previously contained in the \*International Standard for Testing and Investigations\* shall now be reflected in the \*International Standard for Results Management\*.](#)

Like the *Code*, the *International Standard for Testing and Investigations* has been drafted giving due consideration to the principles of respect for human rights, proportionality, and other applicable legal principles. It shall be interpreted and applied in that light.

Terms used in this *International Standard* that are defined terms from the *Code* are written in italics. Terms that are defined in this *International Standard* [and in the \*International Standard for Laboratories and International Standard for Results Management\*](#) are underlined.

## 2.0 Code provisions

The following articles in the [2015–2021 Code](#) are directly relevant to the *International Standard for Testing and Investigations (ISTI)*, they can be obtained by referring to the *Code* itself:

### **Code Article 2 Anti-Doping Rule Violations**

~~The following constitute anti-doping rule violations:~~

~~2.1 Presence of a Prohibited Substance or its Metabolites or Markers in an Athlete's Sample.~~

~~...~~

~~2.2 Use or Attempted Use by an Athlete of a Prohibited Substance or a Prohibited Method.~~

~~...~~

~~2.3 Evading, Refusing or Failing to Submit to Sample Collection.~~

~~Evading Sample collection, or without compelling justification refusing or failing to submit to Sample collection after notification as authorized in applicable anti-doping rules.~~

~~[Comment to Article 2.3: For example, it would be an anti-doping rule violation of "evading Sample collection" if it were established that an Athlete was deliberately avoiding a Doping Control official to evade notification or Testing. A violation of "failing to submit to Sample collection" may be based on either intentional or negligent conduct of the Athlete, while "evading" or "refusing" Sample collection contemplates intentional conduct by the Athlete.]~~

~~2.4 Whereabouts Failures.~~

~~Any combination of three missed tests and/or filing failures, as defined in the *International Standard for Testing and Investigations*, within a twelve-month period by an Athlete in a *Registered Testing Pool*.~~

~~2.5 Tampering or Attempted Tampering with any part of Doping Control.~~

~~Conduct which subverts the *Doping Control* process but which would not otherwise be included in the definition of *Prohibited Methods*. *Tampering* shall include, without limitation, intentionally interfering or attempting to interfere with a *Doping Control* official, providing fraudulent information to an *Anti-Doping Organization* or intimidating or attempting to intimidate a potential witness.~~

~~[Comment to Article 2.5: For example, this Article would prohibit altering identification numbers on a Doping Control form during Testing, breaking the B bottle at the time of B Sample analysis, or altering a Sample by the addition of a foreign substance.]~~

~~Offensive conduct towards a Doping Control official or other Person involved in Doping Control which does not otherwise constitute Tampering shall be addressed in the disciplinary rules of sport organizations.]~~

~~2.6 Possession of a Prohibited Substance or a Prohibited Method.~~

~~...~~

~~2.7 Trafficking or Attempted Trafficking in any Prohibited Substance or Prohibited Method.~~

~~2.8 Administration or Attempted Administration to any Athlete In-Competition of any Prohibited Substance or Prohibited Method, or Administration or Attempted Administration to any Athlete Out-of-Competition of any Prohibited Substance or any Prohibited Method that is prohibited Out-of-Competition.~~

~~2.9 Complicity.~~

~~Assisting, encouraging, aiding, abetting, conspiring, covering up or any other type of intentional complicity involving an anti-doping rule violation, Attempted anti-doping rule violation or violation of Article 10.12.1 by another Person.~~

~~2.10 Prohibited Association.~~

~~Association by an Athlete or other Person subject to the authority of an Anti-Doping Organization in a professional or sport-related capacity with any Athlete Support Person who:~~

~~2.10.1 If subject to the authority of an Anti-Doping Organization, is serving a period of Ineligibility; or~~

~~2.10.2 If not subject to the authority of an Anti-Doping Organization and where Ineligibility has not been addressed in a results-management process pursuant to the Code, has been convicted or found in a criminal, disciplinary or professional proceeding to have engaged in conduct which would have constituted a violation of anti-doping rules if Code-compliant rules had been applicable to such Person. The disqualifying status of such Person shall be in force for the longer of six years from the criminal, professional or disciplinary decision or the duration of the criminal, disciplinary or professional~~



~~sanction imposed; or~~

~~2.10.3 Is serving as a front or intermediary for an individual described in Article 2.10.1 or 2.10.2.~~

## **Code Article 5 Testing and Investigations**

~~5.1. Purpose of Testing and Investigations.~~

~~Testing and investigations shall only be undertaken for anti-doping purposes.~~

~~5.1.1 Testing shall be undertaken to obtain analytical evidence as to the Athlete's compliance (or non-compliance) with the strict Code prohibition on the presence/Use of a Prohibited Substance or Prohibited Method.~~

~~5.1.2 Investigations shall be undertaken:~~

~~a) in relation to Atypical Findings and Adverse Passport Findings, in accordance with Articles 7.4 and 7.5 respectively, gathering intelligence or evidence (including, in particular, analytical evidence) in order to determine whether an anti-doping rule violation has occurred under Article 2.1 and/or Article 2.2; and~~

~~b) in relation to other indications of potential anti-doping rule violations, in accordance with Articles 7.6 and 7.7, gathering intelligence or evidence (including, in particular, non-analytical evidence) in order to determine whether an anti-doping rule violation has occurred under any of Articles 2.2 to 2.10.~~

~~5.2 Scope of Testing.~~

~~Any Athlete may be required to provide a Sample at any time and at any place by any Anti-Doping Organization with Testing authority over him or her. Subject to the jurisdictional limitations for Event Testing set out in Article 5.3:~~

~~5.2.1 Each National Anti-Doping Organization shall have In-Competition and Out-of-Competition Testing authority over all Athletes who are nationals, residents, license holders or members of sport organizations of that country or who are present in that National Anti-Doping Organization's country.~~

~~5.2.2 Each International Federation shall have In-Competition and Out-of-Competition Testing authority over all Athletes who are~~

~~subject to its rules, including those who participate in *International Events* or who participate in *Events* governed by the rules of that International Federation, or who are members or license-holders of that International Federation or its member National Federations, or their members.~~

~~5.2.3 Each *Major Event Organization*, including the International Olympic Committee and the International Paralympic Committee, shall have *In-Competition Testing* authority for its *Events* and *Out-of-Competition Testing* authority over all *Athletes* entered in one of its future *Events* or who have otherwise been made subject to the *Testing* authority of the *Major Event Organization* for a future *Event*.~~

~~5.2.4 WADA shall have *In-Competition and Out-of-Competition Testing* authority as set out in Article 20.~~

~~5.2.5 *Anti-Doping Organizations* may test any *Athlete* over whom they have *Testing* authority who has not retired, including *Athletes* serving a period of *Ineligibility*.~~

~~5.2.6 If an International Federation or *Major Event Organization* delegates or contracts any part of *Testing* to a *National Anti-Doping Organization* (directly or through a National Federation), that *National Anti-Doping Organization* may collect additional *Samples* or direct the laboratory to perform additional types of analysis at the *National Anti-Doping Organization's* expense. If additional *Samples* are collected or additional types of analysis are performed, the International Federation or *Major Event Organization* shall be notified.~~

~~[*Comment to Article 5.2: Additional authority to conduct Testing may be conferred by means of bilateral or multilateral agreements among Signatories. Unless the Athlete has identified a 60 minute Testing window during the following described time period, or otherwise consented to Testing during that period, before Testing an Athlete between the hours of 11:00 p.m. and 6:00 a.m., an Anti-Doping Organization should have serious and specific suspicion that the Athlete may be engaged in doping. A challenge to whether an Anti-Doping Organization had sufficient suspicion for Testing during this time period shall not be a defense to an anti-doping rule violation based on such test or attempted test.*]~~

### ~~5.3 *Event Testing*.~~

~~5.3.1 Except as otherwise provided below, only a single organization should be responsible for initiating and directing *Testing* at *Event Venues* during an *Event Period*. At *International Events*, the collection of *Samples* shall be initiated and directed by the international organization which is the ruling body for the *Event* (e.g., the~~

~~International Olympic Committee for the Olympic Games, the International Federation for a World Championship, and the Pan-American Sports Organization for the Pan American Games). At National Events, the collection of Samples shall be initiated and directed by the National Anti-Doping Organization of that country. At the request of the ruling body for an Event, any Testing during the Event Period outside of the Event Venues shall be coordinated with that ruling body.~~

~~[Comment to Article 5.3.1: Some ruling bodies for International Events may be doing their own Testing outside of the Event Venues during the Event Period and thus want to coordinate that Testing with National Anti-Doping Organization Testing.]~~

~~5.3.2 If an Anti-Doping Organization which would otherwise have Testing authority but is not responsible for initiating and directing Testing at an Event desires to conduct Testing of Athletes at the Event Venues during the Event Period, the Anti-Doping Organization shall first confer with the ruling body of the Event to obtain permission to conduct and coordinate such Testing. If the Anti-Doping Organization is not satisfied with the response from the ruling body of the Event, the Anti-Doping Organization may, in accordance with procedures published by WADA, ask WADA for permission to conduct Testing and to determine how to coordinate such Testing. WADA shall not grant approval for such Testing before consulting with and informing the ruling body for the Event. WADA's decision shall be final and not subject to appeal. Unless otherwise provided in the authorization to conduct Testing, such tests shall be considered Out-of-Competition tests. Results management for any such test shall be the responsibility of the Anti-Doping Organization initiating the test unless provided otherwise in the rules of the ruling body of the Event.~~

~~[Comment to Article 5.3.2: Before giving approval to a National Anti-Doping Organization to initiate and conduct Testing at an International Event, WADA shall consult with the international organization which is the ruling body for the Event. Before giving approval to an International Federation to initiate and conduct Testing at a National Event, WADA shall consult with the National Anti-Doping Organization of the country where the Event takes place. The Anti-Doping Organization "initiating and directing Testing" may, if it chooses, enter into agreements with other organizations to which it delegates responsibility for Sample collection or other aspects of the Doping Control process.]~~

#### ~~5.4 Test Distribution Planning.~~

~~5.4.1 WADA, in consultation with International Federations and other Anti-Doping Organizations, will adopt a Technical Document under the International Standard for Testing and Investigations that~~

~~establishes by means of a risk assessment which *Prohibited Substances* and/or *Prohibited Methods* are most likely to be abused in particular sports and sport disciplines.~~

~~5.4.2 Starting with that risk assessment, each *Anti-Doping Organization* with *Testing* authority shall develop and implement an effective, intelligent and proportionate test distribution plan that prioritizes appropriately between disciplines, categories of *Athletes*, types of *Testing*, types of *Samples* collected, and types of *Sample* analysis, all in compliance with the requirements of the *International Standard for Testing and Investigations*. Each *Anti-Doping Organization* shall provide WADA upon request with a copy of its current test distribution plan.~~

~~5.4.3 Where reasonably feasible, *Testing* shall be coordinated through ADAMS or another system approved by WADA in order to maximize the effectiveness of the combined *Testing* effort and to avoid unnecessary repetitive *Testing*.~~

#### ~~5.5 *Testing* Requirements.~~

~~All *Testing* shall be conducted in conformity with the *International Standard for Testing and Investigations*.~~

#### ~~5.6 *Athlete* Whereabouts Information.~~

~~*Athletes* who have been included in a *Registered Testing Pool* by their International Federation and/or *National Anti-Doping Organization* shall provide whereabouts information in the manner specified in the *International Standard for Testing and Investigations*. The International Federations and *National Anti-Doping Organizations* shall coordinate the identification of such *Athletes* and the collection of their whereabouts information. Each International Federation and *National Anti-Doping Organization* shall make available through ADAMS or another system approved by WADA, a list which identifies those *Athletes* included in its *Registered Testing Pool* either by name or by clearly defined, specific criteria. *Athletes* shall be notified before they are included in a *Registered Testing Pool* and when they are removed from that pool. The whereabouts information they provide while in the *Registered Testing Pool* will be accessible, through ADAMS or another system approved by WADA, to WADA and to other *Anti-Doping Organizations* having authority to test the *Athlete* as provided in Article 5.2. This information shall be maintained in strict confidence at all times; shall be used exclusively for purposes of planning, coordinating or conducting *Doping Control*, providing information relevant to the *Athlete Biological Passport* or other~~

~~analytical results, to support an investigation into a potential anti-doping rule violation, or to support proceedings alleging an anti-doping rule violation; and shall be destroyed after it is no longer relevant for these purposes in accordance with the *International Standard for the Protection of Privacy and Personal Information*.~~

~~...~~

#### ~~5.8 Investigations and Intelligence Gathering.~~

~~*Anti-Doping Organizations* shall ensure they are able to do each of the following, as applicable and in accordance with the *International Standard for Testing and Investigations*:~~

~~5.8.1 Obtain, assess and process anti-doping intelligence from all available sources to inform the development of an effective, intelligent and proportionate test distribution plan, to plan *Target Testing*, and/or to form the basis of an investigation into a possible anti-doping rule violation(s); and~~

~~5.8.2 Investigate *Atypical Findings* and *Adverse Passport Findings*, in accordance with Articles 7.4 and 7.5 respectively; and~~

~~5.8.3 Investigate any other analytical or non-analytical information or intelligence that indicates a possible anti-doping rule violation(s), in accordance with Articles 7.6 and 7.7, in order either to rule out the possible violation or to develop evidence that would support the initiation of an anti-doping rule violation proceeding.~~

### **Code Article 6 Analysis of Samples**

#### ~~6.2 Purpose of Analysis of Samples.~~

~~Samples shall be analyzed to detect *Prohibited Substances* and *Prohibited Methods* identified on the *Prohibited List* and other substances as may be directed by WADA pursuant to Article 4.5, or to assist an *Anti-Doping Organization* in profiling relevant parameters in an *Athlete's* urine, blood or other matrix, including DNA or genomic profiling, or for any other legitimate anti-doping purpose. Samples may be collected and stored for future analysis.~~

~~[Comment to Article 6.2: For example, relevant profile information could be used to direct *Target Testing* or to support an anti-doping rule violation proceeding under Article 2.2, or both.]~~

~~...~~

#### ~~6.4 Standards for Sample Analysis and Reporting.~~

~~Laboratories shall analyze Samples and report results in conformity with the *International Standard for Laboratories*. To ensure effective Testing, the Technical Document referenced at Article 5.4.1 will establish risk assessment based Sample analysis menus appropriate for particular sports and sport disciplines, and laboratories shall analyze Samples in conformity with those menus, except as follows:~~

~~6.4.1— *Anti-Doping Organizations* may request that laboratories analyze their Samples using more extensive menus than those described in the Technical Document.~~

~~6.4.2— *Anti-Doping Organizations* may request that laboratories analyze their Samples using less extensive menus than those described in the Technical Document only if they have satisfied WADA that, because of the particular circumstances of their country or sport, as set out in their test distribution plan, less extensive analysis would be appropriate.~~

~~6.4.3— As provided in the *International Standard for Laboratories*, laboratories at their own initiative and expense may analyze Samples for *Prohibited Substances or Prohibited Methods* not included on the Sample analysis menu described in the Technical Document or specified by the Testing authority. Results from any such analysis shall be reported and have the same validity and consequence as any other analytical result.~~

~~[Comment to Article 6.4: The objective of this Article is to extend the principle of “intelligent Testing” to the Sample analysis menu so as to most effectively and efficiently detect doping. It is recognized that the resources available to fight doping are limited and that increasing the Sample analysis menu may, in some sports and countries, reduce the number of Samples which can be analyzed.]~~

#### ~~6.5 Further Analysis of Samples.~~

~~Any Sample may be subject to further analysis by the *Anti-Doping Organization* responsible for results management at any time before both the A and B Sample analytical results (or A Sample result where B Sample analysis has been waived or will not be performed) have been communicated by the *Anti-Doping Organization* to the *Athlete* as the asserted basis for an Article 2.1 anti-doping rule violation.~~

~~Samples may be stored and subjected to further analyses for the purpose of Article 6.2 at any time exclusively at the direction of the *Anti-Doping Organization* that initiated and directed Sample collection or WADA. (Any Sample storage or further analysis initiated by WADA shall be at WADA’s expense.) Further analysis of Samples shall~~

~~conform with the requirements of the International Standard for Laboratories and the International Standard for Testing and Investigations.~~

## **Code Article 7 Results Management Responsibility, Initial Review, Notice and Provisional Suspensions**

### ~~7.1 Responsibility for Conducting Results Management.~~

~~Except as provided in Articles 7.1.1 and 7.1.2 below, results management and hearings shall be the responsibility of, and shall be governed by, the procedural rules of the *Anti-Doping Organization* that initiated and directed *Sample* collection (or, if no *Sample* collection is involved, the *Anti-Doping Organization* which first provides notice to an *Athlete* or other *Person* of an asserted anti-doping rule violation and then diligently pursues that anti-doping rule violation).~~

~~...~~

~~7.1.2 Results management in relation to a potential Whereabouts Failure (a filing failure or a missed test) shall be administered by the International Federation or the *National Anti-Doping Organization* with whom the *Athlete* in question files his or her whereabouts information, as provided in the *International Standard for Testing and Investigations*. The *Anti-Doping Organization* that determines a filing failure or a missed test shall submit that information to another system approved by *WADA*, where it will be made available to other relevant *Anti-Doping Organizations*.~~

~~...~~

### ~~7.4 Review of Atypical Findings.~~

~~As provided in the *International Standard for Laboratories*, in some circumstances laboratories are directed to report the presence of *Prohibited Substances*, which may also be produced endogenously, as *Atypical Findings* subject to further investigation. Upon receipt of an *Atypical Finding*, the *Anti-Doping Organization* responsible for results management shall conduct a review to determine whether: (a) an applicable *TUE* has been granted or will be granted as provided in the *International Standard for Therapeutic Use Exemptions*, or (b) there is any apparent departure from the *International Standard for Testing and Investigations* or *International Standard for Laboratories* that caused the *Atypical Finding*. If that review does not reveal an applicable *TUE* or departure that caused the *Atypical Finding*, the *Anti-Doping Organization* shall conduct the required investigation. After the investigation is completed, the *Athlete* and other *Anti-Doping Organizations* identified in Article 14.1.2 shall be notified whether or~~

~~not the Atypical Finding will be brought forward as an Adverse Analytical Finding. The Athlete shall be notified as provided in Article 7.3.~~

~~[Comment to Article 7.4: The "required investigation" described in this Article will depend on the situation. For example, if it has previously determined that an Athlete has a naturally elevated testosterone/epitestosterone ratio, confirmation that an Atypical Finding is consistent with that prior ratio is a sufficient investigation.]~~

~~...~~  
~~7.5 Review of Atypical Passport Findings and Adverse Passport Findings.~~

~~Review of Atypical Passport Findings and Adverse Passport Findings shall take place as provided in the International Standard for Testing and Investigations and International Standard for Laboratories. At such time as the Anti-Doping Organization is satisfied that an anti-doping rule violation has occurred, it shall promptly give the Athlete notice, in the manner set out in its rules, of the anti-doping rule violated, and the basis of the violation. Other Anti-Doping Organizations shall be notified as provided in Article 14.1.2.~~

~~7.6 Review of Whereabouts Failures.~~

~~Review of potential filing failures and missed tests shall take place as provided in the International Standard for Testing and Investigations. At such time as the International Federation or National Anti-Doping Organization (as applicable) is satisfied that an Article 2.4 anti-doping rule violation has occurred, it shall promptly give the Athlete notice, in the manner set out in its rules, that it is asserting a violation of Article 2.4 and the basis of that assertion. Other Anti-Doping Organizations shall be notified as provided in Article 14.1.2.~~

~~7.7 Review of Other Anti-Doping Rule Violations Not Covered by Articles 7.1-7.6.~~

~~The Anti-Doping Organization or other reviewing body established by such organization shall conduct any follow up investigation into a possible anti-doping rule violation as may be required under applicable anti-doping policies and rules adopted pursuant to the Code or which the Anti-Doping Organization otherwise considers appropriate. At such time as the Anti-Doping Organization is satisfied that an anti-doping rule violation has occurred, it shall promptly give the Athlete or other Person notice, in the manner set out in its rules, of the anti-doping rule violated, and the basis of the violation. Other Anti-Doping Organizations shall be notified as provided in Article 14.1.2.~~



~~[Comment to Articles 7.1, 7.6 and 7.7: For example, an International Federation typically would notify the Athlete through the Athlete's National Federat~~

~~...~~

## **Code Article 10 Sanctions on Individuals**

~~10.3.2 For violations of Article 2.4, the period of *Ineligibility* shall be two years, subject to reduction down to a minimum of one year, depending on the *Athlete's* degree of *Fault*. The flexibility between two years and one year of *Ineligibility* in this Article is not available to *Athletes* where a pattern of last minute whereabouts changes or other conduct raises a serious suspicion that the *Athlete* was trying to avoid being available for *Testing*.~~

~~...~~

~~10.6 Elimination, Reduction, or Suspension of Period of *Ineligibility* or other *Consequences* for Reasons Other than *Fault*.~~

~~10.6.1 *Substantial Assistance* in Discovering or Establishing Anti-Doping Rule Violations.~~

~~10.6.1.1 An *Anti-Doping Organization* with results management responsibility for an anti-doping rule violation may, prior to a final appellate decision under Article 13 or the expiration of the time to appeal, suspend a part of the period of *Ineligibility* imposed in an individual case where the *Athlete* or other *Person* has provided *Substantial Assistance* to an *Anti-Doping Organization*, criminal authority or professional disciplinary body which results in: (i) the *Anti-Doping Organization* discovering or bringing forward an anti-doping rule violation by another *Person*, or (ii) which results in a criminal or disciplinary body discovering or bringing forward a criminal offense or the breach of professional rules committed by another *Person* and the information provided by the *Person* providing *Substantial Assistance* is made available to the *Anti-Doping Organization* with results management responsibility. ...~~

## **Code Article 13 Appeals**

~~13.3 Failure to Render a Timely Decision by an *Anti-Doping Organization*.~~

~~Where, in a particular case, an *Anti-Doping Organization* fails to render a decision with respect to whether an anti-doping rule violation was committed within a reasonable deadline set by *WADA*, *WADA* may elect to appeal directly to *CAS* as if the *Anti-Doping Organization* had rendered a decision finding no anti-doping rule violation. If the~~

~~CAS hearing panel determines that an anti-doping rule violation was committed and that WADA acted reasonably in electing to appeal directly to CAS, then WADA's costs and attorney fees in prosecuting the appeal shall be reimbursed to WADA by the Anti-Doping Organization.~~

~~[Comment to Article 13.3: Given the different circumstances of each anti-doping rule violation investigation and results management process, it is not feasible to establish a fixed time period for an Anti-Doping Organization to render a decision before WADA may intervene by appealing directly to CAS. Before taking such action, however, WADA will consult with the Anti-Doping Organization and give the Anti-Doping Organization an opportunity to explain why it has not yet rendered a decision. Nothing in this Article prohibits an International Federation from also having rules which authorize it to assume jurisdiction for matters in which the results management performed by one of its National Federations has been inappropriately delayed.]~~

## **Code Article 14 Confidentiality and Reporting**

~~14.1 Information Concerning Adverse Analytical Findings, Atypical Findings, and other Asserted Anti-Doping Rule Violations.~~

~~14.1.1 Notice of Anti-Doping Rule Violations to Athletes and other Persons.~~

~~The form and manner of notice of an asserted anti-doping rule violation shall be as provided in the rules of the Anti-Doping Organization with results management responsibility.~~

~~14.1.2 Notice of Anti-Doping Rule Violations to National Anti-Doping Organizations, International Federations and WADA.~~

~~The Anti-Doping Organization with results management responsibility shall also notify the Athlete's National Anti-Doping Organization, International Federation and WADA of the assertion of an anti-doping rule violation simultaneously with the notice to the Athlete or other Person.~~

~~...~~

~~14.1.4 Status Reports.~~

~~Except with respect to investigations which have not resulted in notice of an anti-doping rule violation pursuant to Article 14.1.1, the Anti-Doping Organizations referenced in Article 14.1.2 shall be regularly updated on the status and findings of any review or proceedings conducted pursuant to Article 7, 8 or 13 and shall be provided with a prompt written reasoned explanation or decision explaining the~~

~~resolution of the matter.~~

~~...~~

## **Code Article 20 Additional Roles and Responsibilities of *Signatories* and WADA**

~~20.1 Roles and Responsibilities of the International Olympic Committee.~~

~~...~~

~~20.1.7 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether *Athlete Support Personnel* or other *Persons* may have been involved in each case of doping.~~

~~...~~

~~20.2 Roles and Responsibilities of the International Paralympic Committee.~~

~~...~~

~~20.2.7 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether *Athlete Support Personnel* or other *Persons* may have been involved in each case of doping.~~

~~...~~

~~20.3 Roles and Responsibilities of International Federations.~~

~~...~~

~~20.3.6 To require National Federations to report any information suggesting or relating to an anti-doping rule violation to their *National Anti-Doping Organization* and International Federation and to cooperate with investigations conducted by any *Anti-Doping Organization* with authority to conduct the investigation. ...~~

~~20.3.10 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether *Athlete Support Personnel* or other *Persons* may have been involved in each case of doping, to ensure proper enforcement of *Consequences*, and to conduct an automatic investigation of *Athlete Support Personnel* in the case of any anti-doping rule violation involving a *Minor* or *Athlete Support Person* who has provided support to more than one *Athlete* found to have committed an anti-doping rule violation. ...~~

~~20.3.14 To cooperate fully with WADA in connection with investigations conducted by WADA pursuant to Article 20.7.10.~~

~~...~~

~~20.4 Roles and Responsibilities of *National Olympic Committees* and *National Paralympic Committees*.~~

~~...~~

~~20.4.4 To require National Federations to report any information suggesting or relating to an anti-doping rule violation to their *National*~~

~~Anti-Doping Organization and International Federation and to cooperate with investigations conducted by any Anti-Doping Organization with authority to conduct the investigation.~~

~~...~~

~~20.4.10 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping. ...~~

~~20.5 Roles and Responsibilities of National Anti-Doping Organizations.~~

~~...~~

~~20.5.4 To encourage reciprocal Testing between National Anti-Doping Organizations.~~

~~...~~

~~20.5.7 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping and to ensure proper enforcement of Consequences.~~

~~...~~

~~20.5.9 To conduct an automatic investigation of Athlete Support Personnel within its jurisdiction in the case of any anti-doping rule violation by a Minor and to conduct an automatic investigation of any Athlete Support Person who has provided support to more than one Athlete found to have committed an anti-doping rule violation.~~

~~20.5.10 To cooperate fully with WADA in connection with investigations conducted by WADA pursuant to Article 20.7.10.~~

~~...~~

~~20.6 Roles and Responsibilities of Major Event Organizations.~~

~~...~~

~~20.6.5 To vigorously pursue all potential anti-doping rule violations within its jurisdiction including investigation into whether Athlete Support Personnel or other Persons may have been involved in each case of doping. ...~~

~~20.7 Roles and Responsibilities of WADA.~~

~~...~~

~~20.7.7 To design and conduct an effective Independent Observer Program and other types of Event advisory programs.~~

~~20.7.8 To conduct, in exceptional circumstances and at the direction of the WADA Director General, Doping Controls on its own initiative or as requested by other Anti-Doping Organizations, and to cooperate with relevant national and international organizations and agencies, including but not limited to, facilitating inquiries and investigations.~~

~~[Comment to Article 20.7.8: WADA is not a Testing agency, but it reserves the~~

~~right, in exceptional circumstances, to conduct its own tests where problems have been brought to the attention of the relevant Anti-Doping Organization and have not been satisfactorily addressed.]~~

~~20.7.9 To approve, in consultation with International Federations, National Anti-Doping Organizations, and Major Event Organizations, defined Testing and Sample analysis programs.~~

~~20.7.10 To initiate its own investigations of anti-doping rule violations and other activities that may facilitate doping.~~

## **Code Article 21 Additional Roles and Responsibilities of Athletes and other Persons**

### **~~21.1 Roles and Responsibilities of Athletes:~~**

~~...~~

~~21.1.2 To be available for Sample collection at all times.~~

~~[Comment to Article 21.1.2: With due regard to an Athlete's human rights and privacy, legitimate anti-doping considerations sometimes require Sample collection late at night or early in the morning. For example, it is known that some Athletes Use low doses of EPO during these hours so that it will be undetectable in the morning.]~~

~~...~~

~~21.1.6 To cooperate with Anti-Doping Organizations investigating anti-doping rule violations.~~

~~[Comment to Article 21.1.6 Failure to cooperate is not an anti-doping rule violation under the Code, but it may be the basis for disciplinary action under a stakeholder's rules.]~~

~~21.2 Roles and Responsibilities of Athlete Support Personnel:~~

~~...~~

~~21.2.2 To cooperate with the Athlete Testing program.~~

~~...~~

~~21.2.5 To cooperate with Anti-Doping Organizations investigating anti-doping rule violations.~~

~~[Comment to Article 21.2.5 Failure to cooperate is not an anti-doping rule violation under the Code, but it may be the basis for disciplinary action under a stakeholder's rules.]~~

~~...~~

~~21.3 Roles and Responsibilities of Regional Anti-Doping Organizations:~~

~~...~~

~~21.3.4 To encourage reciprocal Testing between National Anti-Doping Organizations and Regional Anti-Doping Organizations.~~

~~...~~

## **Code Article 23 Acceptance, Compliance and Modification**

### ~~23.3 Implementation of Anti-Doping Programs:~~

~~Signatories shall devote sufficient resources in order to implement anti-doping programs in all areas that are compliant with the Code and the International Standards.~~

~~...~~

## 3.0 Definitions and interpretation<sup>1</sup>

### 3.1 Defined terms from the 2021~~15~~ Code that are used in the *International Standard for Testing and Investigations (ISTI)*:

**ADAMS:** The *Anti-Doping Administration and Management System* is a Web-based database management tool for data entry, storage, sharing, and reporting designed to assist stakeholders and WADA in their anti-doping operations in conjunction with data protection legislation.

**Adverse Analytical Finding:** A report from a WADA-accredited laboratory or other WADA-approved laboratory that, consistent with the *International Standard for Laboratories and related Technical Documents*, identifies in a *Sample* the presence of a *Prohibited Substance* or its *Metabolites* or *Markers* (including elevated quantities of endogenous substances) or evidence of the *Use* of a *Prohibited Method*.

**Adverse Passport Finding:** A report identified as an *Adverse Passport Finding* as described in the applicable *International Standards*.

**Anti-Doping Organization:** A *Signatory* ([other than WADA](#)) that is responsible for adopting rules for initiating, implementing or enforcing any part of the *Doping Control* process. This includes, for example, the International Olympic Committee, the International Paralympic Committee, other *Major Event Organizations* that conduct *Testing* at their *Events*, WADA, International Federations, and *National Anti-Doping Organizations*.

**Athlete:**<sup>2</sup> Any *Person* who competes in sport at the international level (as defined by each International Federation) or the national level (as defined by each *National Anti-Doping Organization*). An *Anti-Doping Organization* has discretion to apply anti-doping rules to an *Athlete* who is neither an *International-Level Athlete* nor a *National-Level Athlete*, and thus to bring them within the definition of "Athlete." In relation to *Athletes* who are neither

<sup>1</sup> [\[Code Comment to Definitions: Defined terms shall include their plural and possessive forms, as well as those terms used as other parts of speech.\]](#)

<sup>2</sup> [\[Code Comment to Athlete: This definition makes it clear that all International-and National-Level Athletes are subject to the anti-doping rules of the Code, with the precise definitions of International- and National-Level sport to be set forth in the anti-doping rules of the International Federations and National Anti-Doping Organizations, respectively. The definition also allows each National Anti-Doping Organization, if it chooses to do so, to expand its anti-doping program beyond International- or National-Level Athletes to competitors at lower levels of Competition or to individuals who engage in fitness activities but do not compete at all. Thus, a National Anti-Doping Organization could, for example, elect to test recreational-level competitors but not require advance TUEs. But an anti-doping rule violation involving an Adverse Analytical Finding or Tampering results in all of the Consequences provided for in the Code \(with the exception of Article 14.3.2\). The decision on whether Consequences apply to recreational-level Athletes who engage in fitness activities but never compete is left to the National Anti-Doping Organization. In the same manner, a Major Event Organization holding an Event only for masters-level competitors could elect to test the competitors but not analyze Samples for the full menu of Prohibited Substances. Competitors at all levels of Competition should receive the benefit of anti-doping information and education.\]](#)

*International-Level* nor *National-Level Athletes, or are Recreational Athletes*, an *Anti-Doping Organization* may elect to: conduct limited *Testing* or no *Testing* at all; analyze *Samples* for less than the full menu of *Prohibited Substances*; require limited or no whereabouts information; or not require advance *TUEs*. However, if an Article 2.1, 2.3 or 2.5 anti-doping rule violation is committed by any *Athlete* over whom an *Anti-Doping Organization* has authority who competes below the international or national level, then the *Consequences* set forth in the *Code* (except Article 14.3.2) must be applied. For purposes of Article 2.8 and Article 2.9 and for purposes of anti-doping information and education, any *Person* who participates in sport under the authority of any *Signatory*, government, or other sports organization accepting the *Code* is an *Athlete*.

~~[Comment: This definition makes it clear that all International and National-Level Athletes are subject to the anti-doping rules of the Code, with the precise definitions of international-level sport to be set forth in the anti-doping rules of the International Federations and National Anti-Doping Organizations, respectively. The definition also allows each National Anti-Doping Organization, if it chooses to do so, to expand its anti-doping program beyond International or National Level Athletes to competitors at lower levels of Competition or to individuals who engage in fitness activities but do not compete at all. Thus, a National Anti-Doping Organization could, for example, elect to test recreational-level competitors but not require advance TUEs. But an anti-doping rule violation involving an Adverse Analytical Finding or Tampering, results in all of the Consequences provided for in the Code (with the exception of Article 14.3.2). The decision on whether Consequences apply to recreational-level Athletes who engage in fitness activities but never compete is left to the National Anti-Doping Organization. In the same manner, a Major Event Organization holding an Event only for masters-level competitors could elect to test the competitors but not analyze Samples for the full menu of Prohibited Substances. Competitors at all levels of Competition should receive the benefit of anti-doping information and education.]~~

**Athlete Biological Passport:** The program and methods of gathering and collating data as described in the *International Standard for Testing and Investigations* and *International Standard for Laboratories*.

**Atypical Finding:** A report from a WADA-accredited laboratory or other WADA-approved laboratory which requires further investigation as provided by the *International Standard for Laboratories* or related *Technical Documents* prior to the determination of an *Adverse Analytical Finding*.

**Code:** The World Anti-Doping Code.

**Competition:** A single race, match, game or singular sport contest. For example, a basketball game or the finals of the Olympic 100-meter race in athletics. For stage races and other sport contests where prizes are awarded on a daily or other interim basis the distinction between a *Competition* and an *Event*



will be as provided in the rules of the applicable International Federation.

**Doping Control:** All steps and processes from test distribution planning through to ultimate disposition of any appeal and the enforcement of Consequences, including all steps and processes in between including but not limited to *Testing*, investigations ~~such as provision of~~ whereabouts information, *TUEs*, *Sample* collection and handling, laboratory analysis, ~~TUEs~~, *Results Management*, ~~and~~ hearings and appeals, and investigations or proceedings relating to violations of Article 10.13 (Status During Ineligibility or Mandatory Provisional Suspension).

**Event:** A series of individual *Competitions* conducted together under one ruling body (e.g., the Olympic Games, FINA World Championships, or Pan American Games).

**Event Venues:** Those venues so designated by the ruling body for the *Event*.

~~**In-Competition:** Unless provided otherwise in the rules of an International Federation or the ruling body of the *Event* in question, "In-Competition" means the period commencing twelve hours before a *Competition* in which the *Athlete* is scheduled to participate through the end of such *Competition* and the *Sample* collection process related to such *Competition*.~~

~~[Comment: An International Federation or ruling body for an *Event* may establish an "In-Competition" period that is different than the *Event Period*.]~~

**In-Competition:** The period commencing at 11:59 p.m. on the day before a *Competition* in which the *Athlete* is scheduled to participate through the end of such *Competition* and the *Sample* collection process related to such *Competition*. Provided, however, WADA may approve, for a particular sport, an alternative definition if an International Federation provides a compelling justification that a different definition is necessary for its sport; upon such approval by WADA, the alternative definition shall be followed by all *Major Event Organizations* for that particular sport. In the case of an *Athlete's* withdrawal from a *Competition* after 11:59 p.m. the day before the *Athlete* is scheduled to participate, the *Athlete* shall remain subject to *In-Competition Testing* for twenty-four hours after withdrawal unless released earlier by written notification.<sup>3</sup>

**Independent Observer Program:** A team of observers and/or auditors, under the supervision of WADA, who observe and provide guidance on the *Doping Control* process prior to or during ~~at~~ certain *Events* and report on their observations as part of WADA's compliance monitoring program.

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<sup>3</sup> [Code Comment to In-Competition: Having a universally accepted definition for In-Competition provides greater harmonization among Athletes across all sports, eliminates or reduces confusion among Athletes about the relevant timeframe for In-Competition Testing, avoids inadvertent Adverse Analytical Findings in between Competitions during an Event and assists in preventing any potential performance enhancement benefits from substances prohibited Out-of-Competition being carried over to the Competition period.]

**International Event:** An Event or Competition where the International Olympic Committee, the International Paralympic Committee, an International Federation, a Major Event Organization, or another international sport organization is the ruling body for the Event or appoints the technical officials for the Event.

**International-Level Athlete:** Athletes who compete in sport at the international level, as defined by each International Federation, consistent with the International Standard for Testing and Investigations.<sup>4</sup>

**Marker:** A compound, group of compounds or biological variable(s) that indicates the Use of a Prohibited Substance or Prohibited Method.

~~**Minor:** A natural Person who has not reached the age of eighteen years.~~

**National Anti-Doping Organization:** The entity(ies) designated by each country as possessing the primary authority and responsibility to adopt and implement anti-doping rules, direct the collection of Samples, the management of test results, and the conduct of hearings at the national level. If this designation has not been made by the competent public authority(ies), the entity shall be the country's National Olympic Committee or its designee.

**National Event:** A sport Event or Competition involving International- or National-Level Athletes that is not an International Event.

**National-Level Athlete:** Athletes who compete in sport at the national level, as defined by each National Anti-Doping Organization, consistent with the International Standard for Testing and Investigations.

**National Olympic Committee:** The organization recognized by the International Olympic Committee. The term National Olympic Committee shall also include the National Sport Confederation in those countries where the National Sport Confederation assumes typical National Olympic Committee responsibilities in the anti-doping area.

**Out-of-Competition:** Any period which is not In-Competition.

**Person:** A natural Person or an organization or other entity.

**Prohibited Method:** Any method so described on the Prohibited List.

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<sup>4</sup>~~[Code Comment to International Level Athlete: Consistent with the International Standard for Testing and Investigations, the International Federation is free to determine the criteria it will use to classify Athletes as International Level Athletes, e.g., by ranking, by participation in particular International Events, by type of license, etc. However, it must publish those criteria in clear and concise form, so that Athletes are able to ascertain quickly and easily when they will become classified as International Level Athletes. For example, if the criteria include participation in certain International Events, then the International Federation must publish a list of those International Events.]~~

**Prohibited Substance:** Any substance, or class of substances, so described on the *Prohibited List*.

**Recreational Athlete:** A natural *Person* who is so defined by the relevant International Federation, *National Anti-Doping Organization* or *Major Event Organization*; provided, however, the term shall not include any *Person* who, within the five years prior to committing any anti-doping rule violation, has been an *International-Level Athlete* (as defined by each International Federation consistent with the *International Standard for Testing and Investigations*) or *National-Level Athlete* (as defined by each *National Anti-Doping Organization* consistent with the *International Standard for Testing and Investigations*), has represented any country in an *International Event* or has been included within any *Registered Testing Pool* or other whereabouts information pool maintained by any International Federation or *National Anti-Doping Organization*.<sup>5</sup>

**Registered Testing Pool:** The pool of highest-priority *Athletes* established ~~separately~~ at the international level by International Federations and at the national level by *National Anti-Doping Organizations*, who are subject to focused ~~In-Competition and Out-of-Competition Testing~~ as part of that International Federation's or *National Anti-Doping Organization's* test distribution plan and therefore are required to provide whereabouts information as provided in Article 5.6 and the *International Standard for Testing and Investigations*.

**Results Management:** The process encompassing the timeframe beginning with administrative review and notification of a potential anti-doping rule violation through notification, charge and final resolution of the hearing and appeal process.

**Sample or Specimen:** Any biological material collected for the purposes of Doping Control.<sup>6</sup> ~~[Comment: It has sometimes been claimed that the collection of blood Samples violates the tenets of certain religious or cultural groups. It has been determined that there is no basis for any such claim.]~~

**Signatories:** Those entities signing the *Code* and agreeing to comply with the *Code*, as provided in Article 23.

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<sup>5</sup> ~~[Code Drafting Note to Definition of *Recreational Athlete*: The *International Standard for Testing and Investigations* should include a definition of *National Level Athlete* to be applied where the *National Anti-Doping Organization* has failed to adopt a definition of *National Level Athlete* consistent with the *International Standard*.]~~

<sup>6</sup> ~~[Code Comment to *Sample or Specimen*: It has sometimes been claimed that the collection of blood Samples violates the tenets of certain religious or cultural groups. It has been determined that there is no basis for any such claim.]~~

**Substantial Assistance:** For purposes of Article 10.6.1, a *Person* providing *Substantial Assistance* must: (1) fully disclose in a signed written statement all information he or she possesses in relation to anti-doping rule violations, and (2) fully cooperate with the investigation and adjudication of any case related to that information, including, for example, presenting testimony at a hearing if requested to do so by an *Anti-Doping Organization* or hearing panel. Further, the information provided must be credible and must comprise an important part of any case which is initiated or, if no case is initiated, must have provided a sufficient basis on which a case could have been brought.

**Target Testing:** Selection of specific *Athletes* for *Testing* based on criteria set forth in the *International Standard for Testing and Investigations*.

**Team Sport:** A sport in which the substitution of players is permitted during a *Competition*.

**Technical Document:** [A document adopted and published by WADA from time to time containing specific mandatory technical requirements for the implementation of an \*International Standards\*.](#)

**Testing:** The parts of the *Doping Control* process involving test distribution planning, *Sample* collection, *Sample* handling, and *Sample* transport to the laboratory.

**Vulnerable Person:** [An \*Athlete\* or other natural \*Person\* who at the time of the anti-doping rule violation: \(i\) has not reached the age of sixteen years; \(ii\) has not reached the age of eighteen years and is not included in any \*Registered Testing Pool\* and has never competed in any \*International Event\* in the open category; or \(iii\) for reasons other than age has been determined to lack legal capacity under applicable national legislation.<sup>7</sup>](#)

**WADA:** The World Anti-Doping Agency.

### 3.2 Defined terms specific to the *International Standard for Testing and Investigations*:

**Athlete Biological Passport Documentation Package:** The material produced by the Laboratory and *Athlete Passport* Management Unit to support an *Adverse Passport Finding* such as, but not limited to, analytical data, Expert Panel comments, evidence of confounding factors as well as other relevant supporting information. The [Expert](#) Panel may include a pool of appointed Experts and any additional ad hoc Expert(s) who may be required upon [the](#) request of any of the appointed Experts or by the *Athlete Passport* Management Unit of the *Anti-Doping Organization*.

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<sup>7</sup> [\[Code Comment to Vulnerable Persons: The Code treats Vulnerable Persons differently than other Athletes or Persons in certain circumstances based on the understanding that, below a certain age or intellectual capacity, an Athlete or other Person may not possess the mental capacity to understand and appreciate the prohibitions against conduct contained in the Code. This would include, for example, a Paralympic athlete with a documented lack of legal capacity due to an intellectual impairment.\]](#)

**Blood Collection Officer (or BCO)**: An official who is qualified and has been authorized by the *Sample* Collection Authority to collect a blood *Sample* from an *Athlete*.

**Chain of Custody**: The sequence of individuals or organizations who have responsibility for the custody of a *Sample* from the provision of the *Sample* until the *Sample* has been delivered to the laboratory for analysis.

**Chaperone**: An official who is [suitably](#) trained and authorized by the *Sample* Collection Authority to carry out specific duties including one or more of the following (at the election of the *Sample* Collection Authority): notification of the *Athlete* selected for *Sample* collection; accompanying and observing the *Athlete* until arrival at the *Doping Control* Station; accompanying and/or observing *Athletes* who are present in the *Doping Control* Station; and/or witnessing and verifying the provision of the *Sample* where the training [specifically](#) qualifies [him/her/them](#) to do so.

**Code Article 2.4 Whereabouts Requirements**: The whereabouts requirements set out in Annex I of the *International Standard for Testing and Investigations*, which apply to *Athletes* who are included in the *Registered Testing Pool* of an International Federation or a *National Anti-Doping Organization*.

**Doping Control Coordinator**: [An Anti-Doping Organization or a third party that coordinates any aspect of Doping Control on behalf of an Anti-Doping Organization. The Anti-Doping Organization always remains ultimately responsible under the Code for compliance with the requirements of the International Standard for Testing and Investigations, Therapeutic Use Exemptions, Protection of Privacy and Personnel Information, and Results Management.](#)

**Doping Control Officer (or DCO)**: An official who has been trained and authorized by the *Sample* Collection Authority to carry out the responsibilities given to DCOs in the *International Standard for Testing and Investigations*.

**Doping Control Station**: The location where the *Sample* Collection Session will be conducted [in accordance with Article 6.3.2 of the ISTI](#).

**Expert**: [The Expert\(s\), and/or Expert panel, with knowledge in the concerned field, chosen by the Anti-Doping Organization and/or Athlete Passport Management Unit, are responsible for providing an evaluation of the Passport. The Expert must be external to the Anti-Doping Organization.](#)

**Expert Panel**: The Experts, with knowledge in the concerned field, chosen by the *Anti-Doping Organization* and/or *Athlete Passport* Management Unit, who are responsible for providing an evaluation of the *Passport*. For the Haematological Module, Experts should have knowledge in one or more of the

fields of clinical haematology (diagnosis of blood pathological conditions), sports medicine or exercise physiology. For the Steroidal Module, the Experts should have knowledge in Laboratory analysis, steroid doping and/or endocrinology. [For both modules, an Expert panel should consist of Experts with complementary knowledge such that all relevant fields are represented. The Expert panel may include a pool of at least three appointed Experts and any additional ad hoc Expert\(s\) who may be required upon request of any of the appointed Experts or by the Athlete Passport Management Unit of the Anti-Doping Organization.](#)

**Failure to Comply:** A term used to describe anti-doping rule violations under Code Articles 2.3 and/or 2.5.

**Filing Failure:** A failure by the *Athlete* (or by a third party to whom the *Athlete* has delegated the task) to make an accurate and complete Whereabouts Filing that enables the *Athlete* to be located for *Testing* at the times and locations set out in the Whereabouts Filing or to update that Whereabouts Filing where necessary to ensure that it remains accurate and complete, all in accordance with Article I.3 of the *International Standard for Testing and Investigations*.

**In-Competition Date:** As defined in Article I.3.34.

**Minor:** [A natural Person who has not reached the age of eighteen years.](#)

**Missed Test:** A failure by the *Athlete* to be available for *Testing* at the location and time specified in the 60-minute time slot identified in [his/her/their](#) Whereabouts Filing for the day in question, in accordance with Article I.4 of the *International Standard for Testing and Investigations*.

**No Advance Notice Testing:** *Sample* collection that takes place with no advance warning to the *Athlete* and where the *Athlete* is continuously chaperoned from the moment of notification through *Sample* provision.

**Passport:** A collation of all relevant data unique to an individual *Athlete* that may include longitudinal profiles of *Markers*, heterogeneous factors unique to that particular *Athlete* and other relevant information that may help in the evaluation of *Markers*.

**Passport Custodian:** The *Anti-Doping Organization* responsible for result management of that *Athlete's Passport* and for sharing any relevant information associated to that *Athlete's Passport* with other *Anti-Doping Organization(s)*.

**Random Selection:** Selection of *Athletes* for *Testing* which is not *Target Testing*.

**Results Management Authority:** The organization that is responsible, in accordance with Code Article 7.1, for the management of the results of *Testing* (or other evidence of a potential anti-doping rule violation) and hearings, whether (1) an *Anti-Doping Organization* (for example, the International

Olympic Committee or other *Major Event Organization*, ~~WADA~~, an International Federation, or a *National Anti-Doping Organization*); or (2) another organization acting pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization* (for example, a National Federation that is a member of an International Federation). ~~In respect of Whereabouts Failures, the Results Management Authority shall be as set out in Article I.5.1. The Anti-Doping Organization under whose authority the Results Management is conducted remains ultimately responsible under the Code to ensure the organization conducting the Results Management does so in compliance with the requirements of the International Standard for Results Management. WADA cannot be a Results Management Authority.~~

**Risk Assessment:** ~~The assessment of risk of doping in a sport or sports discipline conducted by an Anti-Doping Organization in accordance with Article 4.2 of the International Standard for Testing and Investigations.~~

**Sample Collection Authority:** ~~The organization that is responsible for the collection of Samples in compliance with the requirements of the International Standard for Testing and Investigations, whether (1) the Testing Authority itself; or (2) another organization (for example, a third party contractor) to whom the authority to Test has been granted Testing Authority has delegated or sub-contracted. such responsibility (provided that the Testing Authority always remains ultimately responsible under the Code for compliance with the requirements of the International Standard for Testing and Investigations relating to collection of Samples).~~

**Sample Collection Equipment:** ~~A and B bottles, kits or containers, collection vessels, tubes or other apparatus used to collect, or hold or store the Sample at any time during and after the Sample Collection Session that Sample Collection Equipment shall meet the requirements of Article 6.3.4, as a minimum, consist of:~~

~~For urine Sample collection:~~

~~Collection vessels for collecting the Sample as it leaves the Athlete's body;~~

~~Suitable kit for storing partial Samples securely until the Athlete is able to provide more urine; and~~

~~Sealable and tamper-evident bottles and lids for storing and transporting the complete Sample securely.~~

~~For blood Sample collection:~~

~~Needles for collecting the Sample;~~

~~Blood tubes with sealable and tamper-evident devices for storing and~~

~~transporting the Sample securely.~~

**Sample Collection Personnel:** A collective term for qualified officials authorized by the *Sample* Collection Authority to carry out or assist with duties during the *Sample* Collection Session.

**Sample Collection Session:** All of the sequential activities that directly involve the *Athlete* from the point that initial contact is made until the *Athlete* leaves the *Doping Control* Station after having provided [his/her/their](#) *Sample(s)*.

**Suitable Specific Gravity for Analysis:** [For Samples with a volume between 90ml and 149ml, Sspecific gravity measured at 1.005 or higher with a refractometer, or 1.010 or higher with lab sticks. For Samples with a volume of 150ml and above, specific gravity measured at 1.003 or higher with a refractometer only.](#)

**Suitable Volume of Urine for Analysis:** A minimum of 90 mL, whether the laboratory will be analysing the *Sample* for all or only some *Prohibited Substances* or *Prohibited Methods*.

**Tamper Evident:** [Refers to having one or more indicators or barriers to entry incorporated into or, if applicable, included with the Sample Collection Equipment, which, if breached or missing or otherwise compromised, can provide visible evidence that Tampering or attempted Tampering of Sample Collection Equipment has occurred.](#)

**Team Activity/Activities:** Sporting activities carried out by *Athletes* on a collective basis as part of a team (e.g., training, travelling, tactical sessions) or under the supervision of the team (e.g., treatment by a team doctor).

**Technical Document for Sport Specific Analysis (TDSSA):** [The Technical Document which establishes minimum levels of analysis that Anti-Doping Organizations must apply to sports and sport disciplines for certain Prohibited Substances and/or Prohibited Methods, which are most likely to be abused in particular sports and sport disciplines as outlined in Code Article 5.4.2.](#)

**Test(s):** [Any combination of Sample\(s\) collected \(and analyzed\) from a single Athlete in a single Sample Collection Session.](#)

**Test Distribution Plan:** A document written by an *Anti-Doping Organization* that plans *Testing* on *Athletes* over whom it has *Testing* Authority, in accordance with the requirements of Article 4 of the *International Standard for Testing and Investigations*, [including but not limited to the outcomes of a Risk Assessment, establishing/defining the overall pool of International Level Athletes and National Level Athletes within the Anti-Doping Organization's anti-doping program, and assessment of which Prohibited Substances and Prohibited Methods are most likely to be abused in the sport\(s\)/sports discipline\(s\) in question, followed by](#)



appropriate prioritization between sport(s) and/or sport disciplines, between categories of Athletes, between types of Testing, between types of and Samples collected, and and between types of Sample analysis including the requirements of the TDSSA.

**Testing Authority:** ~~The organization that has authorized a particular Sample collection, whether (1) an~~ The Anti-Doping Organization that authorizes Sample Collection Testing on Athletes it has authority over. (for example, the International Olympic Committee or other Major Event Organization, WADA, an International Federation, or a National Anti-Doping Organization); or (2). It may authorize another organization to conducting Testing pursuant to the authority of and in accordance with the rules of the Anti-Doping Organization (for example, a National Federation that is a member of an International Federation). The Anti-Doping Organization authorizing Testing remains the Testing Authority and ultimately responsible under the Code to ensure the organization conducting the Testing does so in compliance with the requirements of the International Standard for Testing and Investigations.

**Unsuccessful Attempt Report:** A detailed report of an unsuccessful attempt to collect a *Sample* from an *Athlete* in a *Registered Testing Pool* or testing pool setting out the date of the attempt, the location visited, the exact arrival and departure times at the location, the steps taken at the location to try to find the *Athlete* (including details of any contact made with third parties), and any other relevant details about the attempt.

**Whereabouts Failure:** A Filing Failure or a Missed Test.

**Whereabouts Filing:** Information provided by or on behalf of an *Athlete* in a *Registered Testing Pool* that sets out the *Athlete's* whereabouts during the following quarter, in accordance with Article I.3 of the International Standard for *Testing* and Investigations.

### 3.3 Defined terms specific to the *International Standard for Laboratories (ISL)*:

**Adaptive Model:** A mathematical model that was designed to identify unusual longitudinal results from *Athletes*. The model calculates the probability of a longitudinal profile of *Marker* values assuming, that the *Athlete* has a normal physiological condition.

**Analytical Testing:** The parts of the *Doping Control* process performed at the Laboratory, which include *Sample* handling, analysis and reporting of results.

**Athlete Passport Management Unit (APMU):** *Persons*, designated by the *Anti-Doping Organization*, responsible for the administrative management of the Passports advising the *Anti-Doping Organization* for intelligent, *Targeted Testing* liaising with the Expert Panel compiling and authorizing an *Athlete Biological Passport Documentation Package* and reporting *Adverse Passport Findings*.

**Confirmation Procedure:** An analytical test procedure whose purpose is to identify the presence or to measure the concentration/ratio of one or more specific *Prohibited Substances*, *Metabolite(s)* of a *Prohibited Substance*, or *Marker(s)* of the Use of a *Prohibited Substance* or Method in a *Sample*.<sup>8</sup>

**Laboratory(ies):** (A) *WADA*-accredited laboratory(ies) applying test methods and processes to provide evidentiary data for the detection of *Prohibited Substances*, *Methods* or *Markers* on the *Prohibited List* and, if applicable, quantification of a *Threshold Substance* in *Samples* of urine and other biological matrices in the context of anti-doping activities.

**Laboratory—Documentation Packages:** The material produced by the Laboratory to support an analytical result such as an *Adverse Analytical Finding* as set forth in the *WADA Technical Document for Laboratory Documentation Packages*.

**Threshold Substance:** An exogenous or endogenous *Prohibited Substance*, *Metabolite* or *Marker* of a *Prohibited Substance* which is analyzed quantitatively and for which an analytical result (concentration, ratio or score) in excess of a pre-determined *Decision Limit* constitutes an *Adverse Analytical Finding*. *Threshold Substances* are identified as such in the *Technical Document on Decision Limits (TDDL)*.

**WADA-Approved Laboratory for the ABP:** Laboratory(ies) not otherwise accredited by *WADA*; applying test methods and processes in support of an *Athlete Biological Passport* program and in accordance with the criteria for

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<sup>8</sup> [Comment to Confirmation Procedure: A Confirmation Procedure for a threshold substance shall also indicate a concentration/ratio of the *Prohibited Substance* greater than the applicable *Decision Limit* (as noted in the TD DL).]

[approval of non-accredited laboratories for the Athlete Biological Passport.](#)

### 3.4 **Interpretation:**

[3.4.1](#) Unless otherwise specified, references below to Articles are references to Articles of the *International Standard for Testing and Investigations* [\(ISTI\)](#).

[3.4.2](#) The comments annotating various provisions of the *International Standard for Testing and Investigations* shall be used to interpret the *International Standard*.

[3.4.3](#) The Annexes to the *International Standard for Testing and Investigations* have the same mandatory status as the rest of the *International Standard for Testing and Investigations*.

[3.4.4](#) The official text of the *International Standard for Testing and Investigations* shall be maintained by WADA and shall be published in English and French. In the event of any conflict between the English and French versions, the English version shall prevail.

## PART TWO: STANDARDS FOR TESTING

### 4.0 Planning effective Testing

#### 4.1 Objective

4.1.1 *Code* Article 5.4 requires each *Anti-Doping Organization* with Testing Authority to plan and implement intelligent *Testing* that is proportionate to the risk of doping among *Athletes* under its jurisdiction, and that is effective to detect and to deter such practices. The objective of this ~~Section Article~~ 4.0 of the *International Standard* for Testing and Investigations is to set out the steps that are necessary to develop a Risk Assessment and produce a Test Distribution Plan that satisfies this requirement. ~~This includes establishing the overall pool of Athletes within the Anti-Doping Organization's anti-doping program, and assessment of which Prohibited Substances and Prohibited Methods are most likely to be abused in the sport(s)/sports discipline(s) in question, followed by appropriate prioritization between sport(s) and/or sport disciplines, between categories of Athletes, between types of Testing, between types of Samples collected, and between types of Sample analysis.~~

4.1.2 The *Anti-Doping Organization* shall ensure that *Athlete Support Personnel* and any other *Persons* with a conflict of interest are not involved in Test Distribution Planning for their *Athletes* or in the process of selection of *Athletes* for *Testing* and meet the criteria set out in Annex H.

4.1.3 The *Anti-Doping Organization* shall document its Risk Assessment and Test Distribution Plan and shall ~~file provide that Risk Assessment and Test Distribution Plan with to WADA~~ (a) when seeking *WADA's* approval pursuant to ~~Code Article 6.4.2 to analyse Samples using a less extensive menu than that set out in the Technical Document referenced at Code Article 5.4.1, in accordance with Article 4.7.1 of this International Standard;~~ and (b) where requested by WADA, as part of the process of demonstrating the Anti-Doping Organization's satisfaction of the requirements of Code Article 5.4. The Anti-Doping Organization must be able to demonstrate to WADA's satisfaction that it has made a proper assessment of the relevant risks and has developed and/or implemented adopted and appropriate Test Distribution Plan based on the results of that assessment.

4.1.4 The *Anti-Doping Organization* shall monitor, evaluate and update that Risk Assessment and ~~main activities are therefore risk assessment and prioritization, including information and intelligence gathering, monitoring and follow up; developing a Test Distribution Plan based on that risk assessment and prioritization; filing and discussing that Test Distribution Plan with WADA (where applicable); monitoring, evaluating, reviewing, modifying and updating that Test Distribution Plan during the year/cycle and~~ as necessary in light of changing circumstances; and implementing the Test Distribution Plan.

## 4.2 **Risk Assessment and Test Distribution Plan**

4.2.1 ~~As set out in Code Article 5.4,~~ The starting point of the Test Distribution Plan ~~must~~shall be a considered Risk Assessment, conducted in good faith, of which *Prohibited Substances* and/or *Prohibited Methods* are most likely to be abused in ~~the particular~~ sport(s) and sport discipline(s) in question. This assessment ~~should~~shall take into account (at a minimum) the following information:

- a) The physical and other demands of the relevant sport(s) (and/or discipline(s) within the sport(s)), considering in particular the physiological requirements of the sport(s)/sport discipline(s);
- b) Which Prohibited Substances and/or Prohibited Methods an Athlete would consider most likely to enhance performance in the relevant ~~The possible performance enhancing effects that doping may elicit in such~~ sport(s)/sport discipline(s);
- c) The rewards and/or potential incentives for doping available at the different levels of the sport(s)/sport discipline(s) and for the nations participating in such sport(s)/sport discipline(s) ~~and/or other potential incentives for doping~~;
- d) The history of doping in the sport(s)/sport discipline(s), nation(s) and/or Event;

*[Comment to 4.2.1 (d): Unless there has been a full and effective Testing program in a sport, encompassing both In-Competition and Out-of-Competition Testing, a history of no or few Adverse Analytical Findings says little if anything about the risk of doping in that sport.]*

- e) Available statistics and research on doping trends (e.g., anti-doping testing figures and anti-doping rule violation reports published by WADA; peer-reviewed articles);
- f) Information received/intelligence developed on possible doping practices in the sport (e.g., Laboratory and APMU recommendations; Sample Collection Personnel reports; Athlete testimony; information from criminal investigations; and/or other information received/intelligence developed in accordance with WADA's Guidelines for ~~Coordinating Investigations and Sharing Anti-Doping Information and Evidence~~ Information Gathering and Intelligence Sharing) in accordance with Section Article 11.0 of the International Standard for Testing and Investigations; ~~and~~
- g) The outcomes of previous test distribution planning cycles: including past testing strategies;

~~4.2.2 — In developing its Test Distribution Plan, the Anti-Doping Organization shall be bound by the Technical Document referenced in Code Article 5.4.1 and 6.4. Additionally, the Anti-Doping Organization shall conduct its own risk assessment. It should take into account in good faith any risk assessment for the sport or discipline in question carried out by another Anti-Doping Organization with overlapping Testing Authority. However, an International Federation is not bound by a National Anti-Doping Organization's assessment of the risks of doping in a particular sport or discipline, and a National Anti-Doping Organization is not bound by an International Federation's assessment of the risks of doping in a particular sport or discipline.~~

~~4.2.3 — The Anti-Doping Organization shall also consider the potential doping patterns in its sport, nation or Event (as applicable). This shall include assessing matters such as:~~

- ~~h) which Prohibited Substances and/or Prohibited Methods an Athlete would consider most likely to enhance performance in the relevant sport(s) or discipline(s); At what points in his/herttheir career in the sport an Athlete would be most likely to consider obtaining such an illicit advantage; and~~
- ~~i) given the structure of the season for the sport/discipline in question (including standard Competition schedules and training patterns), at what time(s) during the year an Athlete would be most likely to undertake doping practices.~~

~~4.2.4 — All of the remaining steps to be taken in developing a Test Distribution Plan (as set out in the rest of this Section 4.0, below) are to be based on the risk assessment set out in this Article 4.2. The Anti-Doping Organization must be able to demonstrate to WADA's satisfaction that it has made a proper assessment of the relevant risks and has adopted an appropriate Test Distribution Plan based on the results of that assessment.~~

4.2.2 In developing its Test Distribution Plan, the Anti-Doping Organization shall be bound by the Technical Document referenced in Code Article 5.4.1 and 6.4. Additionally, the Anti-Doping Organization shall conduct its own risk assessment. It shall take into account in good faith any risk assessment for the sport or discipline in question carried out by another Anti-Doping Organization with overlapping Testing Authority. However, an International Federation is not bound by a National Anti-Doping Organization's assessment of the risks of doping in a particular sport or discipline, and a National Anti-Doping Organization is not bound by an International Federation's assessment of the risks of doping in a particular sport or discipline.

4.2.3 Test Distribution Planning is ~~intended to be~~ an ongoing process, not a static one. The Anti-Doping Organization shall review the Test Distribution Plan regularly during the year/cycle and shall adapt it as necessary to reflect new information gathered and intelligence developed by the Anti-Doping Organization, and to take into account Testing conducted by other Anti-Doping Organizations. ~~However, any revision to the risk assessment set out in the Technical Document referenced in Code Article 5.4.1 would have to be agreed by WADA.~~

4.2.54.2.4 In developing its Test Distribution Plan, the Anti-Doping Organization shall incorporate the requirements of the Technical Document for Sport Specific Analysis.

#### 4.3 Defining International and National-Level Establishing the overall pool of Athletes

4.3.1 Code Article 5.2 gives different Anti-Doping Organizations Testing Authority over potentially very large pools of sportsmen and sportswomen. However, in recognition of the finite resources of Anti-Doping Organizations, the Code definition of "Athlete" allows National Anti-Doping Organizations to limit the number of sportsmen and sportswomen who will be subject to their national anti-doping programs (in particular, Testing) to those who compete at the highest national levels (i.e., National-Level Athletes, as defined by the National Anti-Doping Organization). It also allows International Federations to focus their anti-doping programs (including Testing) on those who compete regularly at the international level (i.e., International-Level Athletes, as defined by the International Federation).

*[Comment to 4.3.1: Nothing prevents an International Federation from Testing an Athlete under its jurisdiction who is not an International-Level Athlete, if it sees fit, e.g., where ~~he/she is~~they are competing in an International Event. Furthermore, as set out in the Code definition of "Athlete", a National Anti-Doping Organization may decide to extend its anti-doping program (including Testing) to sportsmen and sportswomen who compete below national level. However, the main focus of an International Federation's Test Distribution Plan should be International-Level Athletes, and the main focus of a National Anti-Doping Organization's Test Distribution Plan should be National-Level Athletes and above.]*

4.3.2 Therefore, once the [Risk Assessment and the Test Distribution Plan](#) risk assessment described in Article 4.2 is completed, the next step is to ~~determine an establish the overall pool of Athletes who are in principle going to be subject to Testing by the Anti-Doping Organization in question, i.e. (for an International Federation) fixing an~~ appropriate definition of International-Level Athlete ~~(for an International Federation), or National Level Athlete (for a National Anti-Doping Organization) fixing an appropriate definition of National Level Athlete who are going to be subject to Testing by an Anti-Doping Organization:~~

- a) An International Federation is free to determine the criteria it will use to classify Athletes as International-Level Athletes, e.g., by ranking, by participation in particular International Events, etc. It should make that determination in good faith, in accordance with its responsibility to protect the integrity of the sport at the international level (the showcase of the sport to the public), by fixing a definition that [shall at a minimum](#) encompasses all ~~those Athletes~~ who compete regularly at international level and/or who compete at a standard at which world records may be set.

*[Comment to 4.3.2(a): The Code requires each International Federation to publish in clear and concise form the criteria it uses to classify Athletes as International-Level Athletes, so that it is clear to everyone where the line is drawn and how particular Athletes are to be classified. For example, if the criteria include competing in certain International Events, then the International Federation must publish a list of those International Events.]*

- b) Similarly, a National Anti-Doping Organization is free to determine the criteria it will use to classify Athletes as National-Level Athletes. Again, it should make that determination in good faith, in accordance with its responsibility to protect the integrity of the sport at the national level (the source of national pride in different sports, and the stepping stone to international Competition, including representation of the nation in *International Events* or Competitions). Consequently, the definition ~~should normally~~ [shall at a minimum](#) encompass all those who compete at the highest levels of national Competition in the sport in question (i.e., in national championships or other *Events* that determine or count towards determining who are the best in the country in the category/discipline in question, and/or who ~~should~~ [may](#) be selected to represent the country in *International Events* or Competitions). It ~~should~~ [shall](#) also include those nationals of its country who generally or often compete at international level and/or in *International Events* or Competitions (rather than at national level) but who are not classified as *International-Level Athletes* by their International Federation.



#### 4.4 Prioritizing between sports and/or disciplines

4.4.1 Next, the *Anti-Doping Organization* should consider whether there are any factors warranting allocating *Testing* resources to one sport or discipline or nation (as applicable) under its jurisdiction in priority to others. This means:

- a) In the case of an International Federation, ~~assessing the relative risks of doping as allocating Testing~~ between the different disciplines and nations within its sport based on a calendar of Events.
- b) In the case of a National Anti-Doping Organization, ~~assessing the relative risks of doping as allocating Testing~~ between the different sports under its jurisdiction, as well as any national anti-doping policy imperatives that may lead it to prioritize certain sports over others.

*[Comment to 4.4.1(b): National Anti-Doping Organizations will have varying national policy requirements and priorities. For example, one National Anti-Doping Organization may have legitimate reasons to prioritize (some or all) Olympic sports while another may have legitimate reasons, because of different characteristics of that sporting nation, to prioritize (for example) certain other 'national' sports. These policy imperatives are a relevant consideration in the National Anti-Doping Organization's Test Distribution Planning, alongside its assessment of the relative risks of doping in the various sports played within its national jurisdiction. They may lead, for example, to a National Anti-Doping Organization deciding, in its Test Distribution Plan for a particular period, (1) to allocate Testing to some sports within its jurisdiction but not others; and (2) to prioritize certain sports over others due not to a greater risk of doping in those sports but to a greater national interest in ensuring the integrity of those sports.]*

- a) In the case of a Major Event Organization, ~~assessing the relative risks of doping as allocating Testing~~ between the different sports and/or disciplines involved in its Event.
- b) Another factor relevant to the allocation of *Testing* resources within the Test Distribution Plan will be the number of *Athletes* involved at the relevant level in the sport(s) and/or discipline(s) and/or nation(s) in question. Where the risk of doping is assessed to be equal as between two different sports or disciplines or nations, more resources should be devoted to the sport or discipline or nation involving the larger number of *Athletes*.

#### 4.5 **Prioritizing between different *Athletes* and *Samples***

4.5.1 Once the ~~overall pool of~~International and National Level *Athletes* has been ~~established~~defined (see Article 4.3), and the priority sports/disciplines/nations have been established (see Article 4.4), an intelligent Test Distribution Plan uses *Target Testing* to focus *Testing* resources where they are most needed within the overall pool of *Athletes*. *Target Testing* shall therefore be made a priority, i.e., a significant amount of the *Testing* undertaken as part of an *Anti-Doping Organization's Test Distribution Plan* shall be *Target Testing* of *Athletes* within its overall pool.

*[Comment to 4.5.1: Target Testing is a priority because random Testing, or even weighted random Testing, does not ensure that all of the appropriate Athletes will be tested enough. The World Anti-Doping Code does not impose any reasonable suspicion or probable cause requirement for Target Testing. However, Target Testing should not be used for any purpose other than legitimate Doping Control.]*

4.5.2 *Anti-Doping Organizations* shall consider conducting *Target Testing* on the following categories of *Athletes*:

- a) For International Federations, *Athletes* (especially from its priority disciplines or nations) who compete regularly at the highest level of international Competition (e.g., candidates for Olympic, Paralympic or world championship medals), as determined by rankings or other suitable criteria.
- b) For National *Anti-Doping Organizations*, the following *Athletes* from its priority sports:
  - (i) *Athletes* who are part of national teams in major Events (e.g. Olympic, ~~or~~ Paralympic, world championship and other multi-sport events) or other sports of high national priority (or who might be selected for such teams);
  - (ii) *Athletes* who train independently but perform at major Events (e.g. Olympic, ~~or~~ Paralympic, ~~or~~ World championship and other multi-sport events) level and may be selected for such events; and
  - (iii) *Athletes* in receipt of public funding; ~~and~~
  - (iv) high level Athletes who reside, train or compete abroad;
  - (v) high-level *Athletes* who are nationals of other countries but who are present (whether residing, training, competing or otherwise) within the *National Anti-Doping Organization's* country; and

(vi) In collaboration with International Federations, International Level Athletes.

- c) For all *Anti-Doping Organizations* with relevant *Testing Authority*:
- (i) *Athletes* serving a period of Ineligibility or a Provisional Suspension; and
  - (ii) *Athletes* who were high priority for Testing before they retired from the sport and who now wish to return from retirement to active participation in the sport.

[Comment to 4.5.2: Coordination between the International Federations, National Anti-Doping Organizations and Anti-Doping Organizations should occur in accordance with Article 4.9.]

4.5.3 Other individual factors relevant to determining which Athletes ~~who should~~ shall be made the subject of *Target Testing* ~~may vary considerably from sport to sport, depending on the specific characteristics of the particular sport. However, the relevant factors are likely to include some or all of the following Athlete behaviours/factors indicating possible doping/increased risk of doping~~ shall also be considered. Relevant factors may include (but are not limited to):

- a) prior anti-doping rule violations/test history, including any abnormal biological parameters (blood parameters, steroid profiles, as recommended by an APMU etc.);
- b) sport performance history, performance pattern, ~~including in particular sudden major improvements in performance~~, and/or ~~sustained~~ high - performance without a commensurate Testing record;
- c) repeated Failure to Comply with whereabouts requirements;
- d) suspicious Whereabouts Filing patterns (e.g., last-minute updates of Whereabouts Filings);
- e) moving to or training in a remote location;
- f) withdrawal or absence from expected Competition;
- g) association with a third party (such as a team-mate, coach or doctor) with a history of involvement in doping;
- h) injury;
- i) age/stage of career (e.g., move from junior to senior level, nearing end of contract, approaching retirement);

- j) financial incentives for improved performance, such as prize money or sponsorship opportunities; and/or
- k) reliable information from a third party, or intelligence developed by or shared with the *Anti-Doping Organization* in accordance with ~~Section Article~~ 11.0 of the International Standard for Testing and Investigations.

4.5.4 *Testing* which is not *Target Testing* shall be determined by Random Selection and should be conducted in accordance with the selection options in the Guidelines for Implementing an Effective Testing Program. Random Selection ~~which~~ shall be conducted using a documented system for such selection. Random Selection may be either weighted (where Athletes are ranked using pre-determined criteria in order to increase or decrease the chances of selection) or completely random (where no pre-determined criteria are considered, and *Athletes* are chosen arbitrarily from a list or pool of *Athlete* names), ~~or weighted (where Athletes are ranked using pre-determined criteria in order to increase or decrease the chances of selection)~~. Random Selection that is weighted shall be prioritized and be conducted according to defined criteria, ~~and which~~ may take into account the factors listed in Article 4.5.3 (as applicable) in order to ensure that a greater percentage of 'at risk' *Athletes* is selected.

*[Comment to 4.5.4: In addition to ~~Target Testing detecting doping~~, Testing by Random Selection can play an important deterrent role, as well as helping to protect the integrity of an Event.]*

4.5.5 For the avoidance of doubt, notwithstanding the development of criteria for selection of *Athletes* for *Testing*, and in particular for *Target Testing* of *Athletes*, as well as the fact that as a general rule *Testing* ~~should~~ shall take place between ~~5-6~~ a.m. and 11 p.m. unless (i) the Athlete stipulates a 60 minute timeslot from 5 a.m. or, (ii) valid grounds exist for Testing overnight (i.e. between 11 p.m. and 6 a.m.), the fundamental principle remains (as set out in *Code* Article 5.2) that an *Athlete* may be required to provide a *Sample* at any time and at any place by any *Anti-Doping Organization* with Testing Authority over him/her/them, whether or not the selection of the *Athlete* for *Testing* is in accordance with such criteria. Accordingly, an *Athlete* may not refuse to submit to *Sample* collection on the basis that such *Testing* is not provided for in the *Anti-Doping Organization's* Test Distribution Plan and/or is not being conducted between ~~56~~ a.m. and 11 p.m., and/or that the *Athlete* does not meet the relevant selection criteria for *Testing* or otherwise should not have been selected for *Testing*.

## 4.6 **Prioritizing between different types of Testing and Samples**

4.6.1 Based on the rRisk aAssessment and prioritization process described in Articles 4.2 to 4.5, the *Anti-Doping Organization* must determine to what extent each of the following types of *Testing* is required in order to detect and deter doping practices within the relevant sport(s), discipline(s) and/or nation(s), intelligently and effectively:

- a) *In-Competition Testing* and *Out-of-Competition Testing*;
  - i) In sports and/or disciplines that are assessed as having a high risk of doping during *Out-of-Competition* periods, *Out-of-Competition Testing* shall be made a priority, and a significant portion of the available *Testing* shall be conducted *Out-of-Competition*. However, some material amount of *In-Competition Testing* shall still take place.
  - ii) In sports and/or disciplines that are assessed as having a low risk of doping during *Out-of-Competition* periods (i.e., where it can be clearly shown that doping while *Out-of-Competition* is unlikely to enhance performance or provide other illicit advantages), *In-Competition Testing* shall be made a priority, and a substantial portion of the available *Testing* shall be conducted *In-Competition*. However, some *Out-of-Competition Testing* shall still take place, proportionate to the risk of *Out-of-Competition* doping in such sport/discipline. Very exceptionally, i.e., in the small number of sports and/or disciplines where it is determined in good faith that there is no material risk of doping during *Out-of-Competition* periods, there may be no *Out-of-Competition Testing*. In these circumstances, the *Anti-Doping Organization* shall apply to WADA to seek an exemption from *Out-of-Competition Testing* in accordance with the criteria published on WADA's website or in any protocol issued by WADA.
- b) *Testing* of urine;
- c) *Testing* of blood; and
- d) *Testing* involving longitudinal profiling, i.e., the *Athlete Biological Passport* program.

~~4.6.2 Save in exceptional and justifiable circumstances, all *Testing* shall be No Advance Notice Testing:~~

~~4.6.3 In order to ensure that *Testing* is conducted on a No Advance Notice Testing basis, the Testing Authority (and the Sample Collection Authority, if~~

~~different) shall ensure that Athlete selection decisions are only disclosed in advance of Testing to those who need to know in order for such Testing to be conducted.~~

#### 4.7 **Sample analysis and retention strategy**

4.7.1. *Anti-Doping Organizations* shall ask Laboratories to analyze ~~the Samples for the standard analysis menu based on whether the Sample they have~~ was collected *In-Competition* or *Out-of-Competition*, a manner that is tailored to the particular circumstances of the sport/discipline/country in In accordance with Code Article 6.4, the starting point is that *Anti-Doping Organizations* may also consider undertaking more extensive Sample analysis for *Prohibited Substances* or *Prohibited Methods* beyond those contained (or the levels required) within the TDSSA based on the risk of the sport/discipline/country or any intelligence that the *Anti-Doping Organization* may receive.

~~shall have all Samples collected on their behalf analyzed in accordance with the Sample analysis menus in the Technical Document referenced at Code Article 5.4.1; but (a) they may always ask laboratories to analyze their Samples using more extensive menus than those described in the Technical Document; and (b) they may also ask laboratories to analyze some or all of their Samples using less extensive menus than those described in the Technical Document where they have satisfied WADA that, because of the particular circumstances of their sport or discipline or nation (as applicable), as set out in the Test Distribution Plan, less extensive analysis would be appropriate.~~

4.7.2 An *Anti-Doping Organization* may apply to WADA for a reduction in the analysis of Samples for less than the minimum levels of analysis specified for *Prohibited Substances* or *Prohibited Methods* as outlined in the TDSSA, WADA will approve the analysis of Samples for less than the Sample analysis menu specified in the Technical Document where it is satisfied that such an approach will lead to the most intelligent, and effective Testing programs, and efficient use of available *Testing* resources.

4.7.3 The *Anti-Doping Organization* shall develop a written incorporate into its Test Distribution Plan a strategy for retention of *Samples* and the documentation relating to the collection of such *Samples* so as to enable the further analysis of such *Samples* at a later date in accordance with Code Article 6.5 and 6.6 Such strategy shall comply with the requirements of the *International Standard* for Laboratories and the *International Standard* for the Protection of Privacy and Personal Information, and shall take into account the purposes of analysis of *Samples* set out in Code Article 6.2, as well as (without limitation) the following elements:

- a) Laboratory and APMU recommendations;

- b) The possible need for retroactive analysis in connection with the *Athlete Biological Passport* program;
- c) New detection methods to be introduced in the near future relevant to the *Athlete*, sport and/or discipline; ~~and/or~~
- d) Samples collected from *Athletes* meeting some or all of the ~~'high-risk'~~ criteria set out at Article 4.5.; and/or
- e) Any other information made available to the Anti-Doping Organization justifying long-term storage or further analysis of Samples at the Anti-Doping Organization's discretion.

#### 4.8 **Collecting whereabouts information<sup>9</sup>**

4.8.1 Whereabouts information is not an end in itself, but rather simply a means to an end, namely the efficient and effective conduct of No Advance Notice Testing. Therefore, where an Anti-Doping Organization has determined that it needs to conduct Testing (including Out-of-Competition Testing) on particular Athletes, it must then consider how much information it needs about the whereabouts of those Athletes in order to conduct that Testing effectively and with no advance notice. The Anti-Doping Organization must collect all of the whereabouts information that it needs to conduct the Testing identified in its Test Distribution Plan effectively and efficiently. It must not collect more whereabouts information than it needs for that purpose.

~~[Comment to 4.8.1: In accordance with Code Article 5.6, whereabouts information collected by an Anti-Doping Organization may be used for planning, coordinating or conducting Doping Control, providing information relevant to the Athlete Biological Passport or other analytical results, to support an investigation into a potential anti-doping rule violation, and/or to support proceedings alleging an anti-doping rule violation. In addition, the collection of whereabouts information can have a useful deterrent effect.]~~

~~4.8.2 One consideration is whether the whereabouts information has to be provided by the Athlete, or alternatively whether it can be obtained from other sources. For example, where Competition and/or training in a sport is organized and carried out on a collective basis rather than on an individual basis, involving Team Activities, an International Federation or National Anti-Doping Organization may (in its absolute discretion) decide that it is sufficient to collect whereabouts information from the Athlete's team during such periods of Team Activity, without requiring the Athlete to provide further information for those periods. In such cases, however, in periods where there are no Team Activities~~

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<sup>9</sup> ~~(Drafting Note to Article 4.8 Collecting whereabouts information: Due to the restructuring of this Article, the original Article 4.8 has been deleted in its entirety for ease of review for the second round of stakeholder consultation.)~~

scheduled or where an *Athlete* is not participating in Team Activities, then the *Athlete* may be required to provide more individualized whereabouts to enable No Advance Notice Testing of the *Athlete* during these periods.

~~4.8.3 The Anti-Doping Organization may determine that it needs more whereabouts information in respect of certain categories of *Athletes* than others. It should consider adopting a 'pyramid approach', based on the risk assessment and prioritizing exercises set out at Articles 4.2-4.5. According to this approach, *Athletes* are put into different tiers, depending on the priority that is placed on Testing those *Athletes*. The *Anti-Doping Organization* should determine, in the case of each tier of *Athletes*, how much whereabouts information it needs in order to conduct the amount of Testing allocated to those *Athletes* in the Test Distribution Plan effectively and efficiently.~~

*[Comment to 4.8.3: For example, the Anti-Doping Organization may identify in its Test Distribution Plan a pyramid of different tiers of *Athletes*, with (i) a tier at the bottom for those *Athletes* from whom little or no whereabouts information is required to find them for the Testing allocated to them in the Test Distribution Plan, (ii) further tiers above that (containing *Athletes* from whom more whereabouts information is required, because there is little information available from other sources to find them for Testing, including Out-of-Competition Testing), and (iii) a top tier of *Athletes* from whom the greatest amount of whereabouts information is required, because they are likely to be selected for the greatest amount of Testing (including Out-of-Competition Testing) and there is insufficient whereabouts information available for them from other sources to locate them for that Testing. The top tier of *Athletes* should contain high-profile *Athletes* (e.g., contenders for national and/or international honours), *Athletes* in an *Athlete Biological Passport* program, and *Athletes* at the highest risk of doping: see Article 4.5. In accordance with Article 4.8.4, this top tier of *Athletes* must be put into a Registered Testing Pool (so as to trigger the Code Article 2.4 Whereabouts Requirements) unless the *Anti-Doping Organization* is clearly able to obtain sufficient whereabouts information about such *Athletes* by other means.*

*This discretion is designed in particular to give *Anti-Doping Organizations* the flexibility to maintain pools of *Athletes* from whom some whereabouts information is obtained, which may not meet the Code Article 2.4 Whereabouts Requirements but which is nevertheless useful information that can be used to increase the effectiveness of the *Anti-Doping Organization's* Testing program. For example, an *International Federation* or *National Anti-Doping Organization* may decide that it needs to conduct a certain amount of Out-of-Competition Testing on a particular category of *Athletes* in a sport where competition and/or training is organized and carried out on a team basis rather than an individual basis, but that it can conduct that Testing effectively and on a No Advance Notice Testing basis by using information that is made available to it about the movements of the *Athletes* as part of their team, participating in Team Activities. However, if that team information is not sufficient to conduct the*



~~Testing required of such Athletes effectively and on a No Advance Notice Testing basis, and instead to conduct that Testing it is necessary to require the Athletes to comply with the Code Article 2.4 Whereabouts Requirements, then the International Federation or National Anti-Doping Organization must put the Athletes into its Registered Testing Pool.-~~

~~If an Athlete in the tier below the Registered Testing Pool fails to comply with the whereabouts requirements applicable to his/her tier of Athletes, the International Federation or National Anti-Doping Organization in question should consider moving the Athlete up into the Registered Testing Pool.]~~

~~4.8.4.— Where an International Federation or a National Anti-Doping Organization plans to collect three or more Samples per year Out-of-Competition from particular Athletes, it shall put them into a Registered Testing Pool (so that they are required to comply with the Code Article 2.4 Whereabouts Requirements) unless it is clearly able to obtain sufficient whereabouts information to conduct No Advance Notice Testing efficiently and effectively by some other means.-~~

~~[Comment to 4.8.4: Each International Federation and each National Anti-Doping Organization has discretion to determine, independently of the other, (a) how much Out-of-Competition Testing it needs to conduct in respect of the sport(s) under its jurisdiction; and (b) whether the Athletes on whom it decides to conduct that Testing need to comply with the Code Article 2.4 Whereabouts Requirements in order to conduct the planned Testing on them effectively and efficiently and on a No Advance Notice Testing basis, or alternatively whether sufficient whereabouts information is available by other means to conduct such Testing, so that subjecting the Athletes in question to the Code Article 2.4 Whereabouts Requirements is unnecessary. The Anti-Doping Organization must be able to demonstrate it has made a proper assessment of the relevant risks and of the necessary prioritization in accordance with Articles 4.2 to 4.5, and that it has adopted appropriate criteria based on the results of that assessment. In particular, an Anti-Doping Organization whose Test Distribution Plan includes Testing during Out-of-Competition periods must have a Registered Testing Pool of Athletes who are required to comply with the Code Article 2.4 Whereabouts Requirements unless it can demonstrate that it is able to find those Athletes for No Advance Notice Testing during all Out-of-Competition periods without requiring compliance with the Code Article 2.4 Whereabouts Requirements. In any event, however, there should not be more Athletes in a Registered Testing Pool than the International Federation or National Anti-Doping Organization in question plans (on its own or in agreed coordination with other Anti-Doping Organizations with Testing Authority over those Athletes) to test Out-of-Competition at least three times a year.]~~

~~4.8.5 Anti-Doping Organizations with Testing Authority over an Athlete in a Registered Testing Pool should conduct Out-of-Competition Testing on that Athlete using the whereabouts information provided by the Athlete in~~

accordance with the Code Article 2.4 Whereabouts Requirements. Any such *Athlete* who fails three times in any 12-month period to provide the required information about his/her whereabouts (a Filing Failure) and/or to be available for *Testing* at such whereabouts (a Missed Test) shall be liable for an anti-doping rule violation under Code Article 2.4.

~~4.8.6 Where ADAMS is used to collect whereabouts information from *Athletes* in the *Registered Testing Pool*, then the names of those *Athletes* will automatically be available to WADA and other relevant *Anti-Doping Organizations*, as required under Code Article 5.6. Otherwise, however, to comply with Code Article 5.6, each International Federation and each *National Anti-Doping Organization* must make the criteria that it uses to determine which *Athletes* should be in its *Registered Testing Pool*, and/or a list of the *Athletes* meeting those criteria and so included in its *Registered Testing Pool*, available in writing to WADA, the International Federation/*National Anti-Doping Organization* (as applicable), and other *Anti-Doping Organizations* who have Testing Authority over those *Athletes*.~~

~~[Comment to 4.8.6: There is no requirement that a *National Anti-Doping Organization* must include in its *Registered Testing Pool* those *Athletes* under its jurisdiction who are included in their International Federation's Registered Testing Pool, or vice versa. In no event, however, may an *Athlete* be required to file different sets of whereabouts information with different *Anti-Doping Organizations*. Instead, if an *Athlete* is in one tier for his/her International Federation and another tier for his/her *National Anti-Doping Organization*, he/she shall comply with whichever tier has the greater whereabouts requirements, and all *Anti-Doping Organizations* with Testing Authority over him/her may access that information in order to locate him/her for *Testing*.]~~

~~4.8.7 Each International Federation and each *National Anti-Doping Organization* shall regularly review and update as necessary its criteria for including *Athletes* in its *Registered Testing Pool*, to ensure that they remain fit for purpose, i.e., they are capturing all appropriate *Athletes*. It should take into account the *Competition* calendar for the relevant period. For example, it may be appropriate to change or increase the number of *Athletes* in the *Registered Testing Pool* in the lead up to an Olympic or Paralympic Games or a World Championship.~~

~~4.8.8 In addition, each International Federation and *National Anti-Doping Organization* shall periodically (but no less than quarterly) review the list of *Athletes* in its *Registered Testing Pool* to ensure that each listed *Athlete* continues to meet the relevant criteria. *Athletes* who no longer meet the criteria should be removed from the *Registered Testing Pool* and *Athletes* who now meet the criteria should be added to the *Registered Testing Pool*. The *Anti-Doping Organization* must advise such *Athletes* of the change in their status, and make a new list of *Athletes* in the *Registered Testing Pool* available in accordance with Article 4.8.6, without delay.~~

~~4.8.9 For periods when *Athletes* come under the Testing Authority of a~~

*Major Event Organization:*

- a) ~~if they are in a Registered Testing Pool then the Major Event Organization may access their Whereabouts Filings for the relevant period in order to conduct Testing on them;~~
- b) ~~if they are not in a Registered Testing Pool then the Major Event Organization may adopt Event-specific rules requiring them to provide such information about their whereabouts for the relevant period as it deems necessary and proportionate in order to conduct Testing on them.~~

4.8.2 In accordance with Code Article 5.6 and 14.5 Anti-Doping Organizations may collect whereabouts information and shall use ADAMS to conduct effective Doping Control. This information shall;

- a) be maintained in strict confidence at all time;
- b) be used exclusively for purposes of planning, coordinating or conducting Doping Control;
- c) be relevant to the Athlete Biological Passport or other analytical results;
- d) support an investigation into a potential anti-doping rule violation; and/or
- e) support proceedings alleging an anti-doping rule violation.

In addition, the amount of whereabouts information requested shall be proportional to the whereabouts pool and the amount of times the Anti-Doping Organization intends to Test the Athlete.

4.8.3 Where an Anti-Doping Organization has determined that it needs to conduct Out-of-Competition Testing on particular Athletes following its risk assessment in accordance with Article 4.2 and prioritizing exercises in Articles 4.3 to 4.7, it shall then consider how much whereabouts information it needs for those Athletes in order to conduct No Advance Notice Testing effectively.

4.8.14.8.4 The International Federation or National Anti-Doping Organization should consider adopting a 'pyramid' or 'tiered approach', placing Athletes into different whereabouts pools depending on how much whereabouts information it needs to conduct the amount of Testing allocated to those Athletes in the Test Distribution Plan. The tiered approach may include whereabouts pools referred to as the Registered Testing Pool, the testing pool (or pools if there are more than one) and the general pool.

4.8.24.8.5 The International Federation or National Anti-Doping Organization shall be able to demonstrate to WADA that they have conducted an appropriate risk based approach in allocating Athletes to their whereabouts pool(s) and have allocated sufficient *Out-of-Competition* Tests in their Test Distribution Plan.

#### 4.8.6 ***Registered Testing Pool***

4.8.6.1. The top tier is the *Registered Testing Pool* and includes *Athletes* that are subject to the greatest amount of *Testing* and are therefore required to provide whereabouts in accordance with Article 4.8.3.2. *Athletes* in the *Registered Testing Pool* shall be subject to *Code Article 2.4 Whereabouts Requirements* as set out in Annex I. An International Federation or a *National Anti-Doping Organization* shall consider the following criteria for including *Athletes* into a *Registered Testing Pool*:

- a) *Athletes* who meet the criteria listed in Articles 4.5.2 and 4.5.3;
- b) *Athletes* that the International Federation or *National Anti-Doping Organization* plans to Test at least three times per year *Out-of-Competition* (either independently or in agreed coordination with other *Anti-Doping Organizations* with Testing Authority over the same *Athletes*);
- c) *Athletes* that are part of the *Anti-Doping Organization's Athlete Biological Passport* haematological module program as required by the *Technical Document on Sport Specific Analysis (TDSSA)*.
- d) *Athletes* in a *testing pool* who fail to comply with the applicable whereabouts requirements of that pool;
- e) *Athletes* for whom there is insufficient whereabouts information available for an International Federation or *National Anti-Doping Organization* to locate them for that Testing from other sources;
- f) *Athletes* in a *Team Sport* who are not part of *Team Activities* for a period of time (e.g. during the off-season); and
- g) *Athletes* who are serving a period of Ineligibility.

4.8.6.2. *Anti-Doping Organizations with Testing Authority over an Athlete in a Registered Testing Pool shall conduct Out-of-Competition Testing on that Athlete using the Athlete's Whereabouts Filing. Although Code Article 2.4 Whereabouts Requirements includes the provision of a 60-minute time slot, Testing shall not be limited to the 60-minute time slot provided by the Athlete. To ensure Out-of-Competition Testing is unpredictable to the Athlete, Anti-Doping Organizations shall also consider other whereabouts information provided e.g. regular activities to Test Athletes. Any Athlete who fails three times in any 12-month period to provide the required whereabouts information by the filing deadline (a Filing Failure) and/or to be available for Testing at the 60-minute time slot (a Missed Test) may lead to an anti-doping rule violation under Code Article 2.4.*

4.8.6.3. *In line with Code Article 5.6, and 14.5 whereabouts information from Athletes in a Registered Testing Pool shall, through ADAMS, be automatically available to WADA and other relevant Anti-Doping Organizations with overlapping Testing Authority.*

4.8.6.4. *Athletes who no longer meet the criteria for inclusion in the Registered Testing Pool shall be removed from the Registered Testing Pool in accordance with Annex I.2.5.*

#### 4.8.7 **Testing Pool(s)**

4.8.7.1. *The tier below the Registered Testing Pool is the testing pool and should include Athletes from whom some whereabouts information is required in order to locate and Test the Athlete. At a minimum, this shall include an overnight address, Competition/Event schedule and regular activities. Athletes in a Testing pool are not subject to Code Article 2.4 Whereabouts Requirements. An International Federation or a National Anti-Doping Organization shall consider the following criteria for including Athletes into a Testing pool:*

- a) *Athletes whom the International Federation or National Anti-Doping Organization plans to Test at least once per year Out-of-Competition;*
- b) *Athletes from sports that have sufficient whereabouts information to locate them for Testing through regular team Competition/Event and Team Activities.*

4.8.7.2. In line with Article 4.8.6.1 b) where training in a sport is organized and carried out on a collective basis rather than on an individual basis, involving Team Activities, an International Federation or National Anti-Doping Organization may decide that it is sufficient to include Athletes as part of the team in a Testing pool. However, in periods where there are no Team Activities scheduled (e.g. the off-season) or where an Athlete is not participating in Team Activities (e.g. is rehabilitating after an injury), then the Athlete may be required by the International Federation or National Anti-Doping Organization rules or procedures to provide more individualized whereabouts to enable No Advance Notice Testing of the Athlete during these periods. If the whereabouts information requested is not sufficient to conduct the No Advance Notice Testing during these periods, it shall put the Athletes into its Registered Testing Pool and Code Article 2.4 whereabouts requirements will apply.

4.8.7.3. To ensure accurate whereabouts are filed and maintained by Athletes in a Testing pool, an International Federation or a National Anti-Doping Organization shall within their rules and procedures include appropriate consequences to individual Athletes or teams who are part of a Testing pool if:

- a) the whereabouts information is not filed on the date(s) stated in the rules; or
- b) if the whereabouts information is not found to be accurate following an attempt to Test; or
- c) if information is obtained that is contrary to the whereabouts information provided.

[Comment 4.8.6.3: Any consequences may be in addition to the elevation of an Athlete into the Registered Testing Pool as described in Article 4.8.2].

4.8.7.4. Whereabouts for Athletes in a Testing pool should also be filed in ADAMS to enable better Testing coordination between Anti-Doping Organizations. An International Federation or a National Anti-Doping Organization may also request whereabouts filing schedules with more regular deadlines e.g. weekly, monthly or quarterly within their rules or procedures which better suit the needs and demands of Team Activities in the relevant sport(s).

4.8.2.5-4.8.7.5. Athletes designated for inclusion in a testing pool shall be notified in advance by the Anti-Doping Organization of their inclusion in the testing pool, of the whereabouts requirements and any consequences that apply.

#### 4.8.8 General Pool

4.8.2.6-4.8.8.1. *Anti-Doping Organizations* may at their discretion implement a general pool which is the tier below the Testing pool and includes Athletes who do not meet the criteria of Article 4.5.2 and from whom little or no whereabouts information is required to locate them for Out-of-Competition Testing. Athletes in the general pool are not subject to Code 2.4 Whereabouts Requirements.

#### 4.8.9 Selecting Athletes for the different whereabouts pools and coordination between International Federations and National Anti-Doping Organizations

4.8.9.1. Each International Federation and National Anti-Doping Organization has the discretion to select which Athlete goes into which type of whereabouts pool. However, the International Federation and National Anti-Doping Organization shall be able to demonstrate it has made a proper assessment of the relevant risks and of the necessary prioritization in accordance with Articles 4.2 to 4.7, and that it has adopted appropriate criteria based on the results of that assessment.

4.8.9.2. Once an International Federation and National Anti-Doping Organization has selected Athletes for its Registered Testing Pool it shall share the list of Athletes through ADAMS with the relevant International Federation and National Anti-Doping Organization.

4.8.9.3. Athletes under the Testing Authority of a National Anti-Doping Organization and an International Federation should only be in one Registered Testing Pool and therefore only file one set of whereabouts information. That Anti-Doping Organization shall be the whereabouts custodian. If an Athlete is in one whereabouts pool of their International Federation and another whereabouts pool for their National Anti-Doping Organization, they shall file their whereabouts and comply with whichever whereabouts pool has the greater whereabouts requirements. All Anti-Doping Organizations with Testing Authority over the Athlete may access that information in order to locate them for Testing. In accordance with Article.

4.8.9.4. Anti-Doping Organizations shall coordinate Athlete whereabouts pool selection, and Testing activities to avoid duplication, and maximize use of resources. As a result of such coordination and resource efficiencies, either the International Federation or National Anti-Doping Organization shall consider adding more Athletes to its Registered Testing Pool or Testing pool to ensure a greater level of Testing is conducted across a wider range of at risk Athletes.

4.8.9.5. Each International Federation and each National Anti-Doping Organization shall:

- a) Regularly review and update as necessary its criteria for including Athletes in its Registered Testing Pool and Testing pool(s) to ensure that they remain fit for purpose, i.e., they are capturing all appropriate Athletes. It shall take into account the Competition/Event calendar for the relevant period and change or increase the number of Athletes in the Registered Testing Pool or Testing pool in the lead-up to a major event (e.g. Olympic, Paralympic, world championship and other multi-sport events) to ensure those Athletes participating are subject to a sufficient level of Out-of-Competition Testing in the lead up to the major event.
- b) Periodically (but no less than quarterly) review the list of Athletes in its Registered Testing Pool and Testing pool(s) to ensure that each listed Athlete continues to meet the relevant criteria. Athletes who no longer meet the criteria should be removed from the Registered Testing Pool and/or Testing pool and Athletes who now meet the criteria should be added. The Anti-Doping Organization shall advise such Athletes of the change in their status and make a new list of Athletes in the applicable pool available in accordance with Article 4.8.8.2, without delay.

4.8.10 Major Event Organizations

4.8.10.1. For periods when Athletes come under the Testing Authority of a Major Event Organization:

- a) if they are in a Registered Testing Pool then the Major Event Organization may access their Whereabouts Filings for the relevant period in order to conduct Out-of-Competition Testing on them; or
- b) if they are not in a Registered Testing Pool then the Major Event Organization may adopt Event-specific rules including consequences requiring them or the relevant third party to provide such information about their whereabouts for the relevant period as it deems necessary and proportionate in order to conduct Out-of-Competition Testing on them.



#### 4.9 Co-ordinating with other **Anti-Doping Organizations**

4.9.1 *Anti-Doping Organizations* shall coordinate their *Testing* efforts with the efforts of other *Anti-Doping Organizations* with overlapping Testing Authority, in order to maximise the effectiveness of those combined efforts and to avoid unnecessarily repetitive *Testing* of particular *Athletes*. In particular *Anti-Doping Organizations* shall:

- a) ~~*Anti-Doping Organizations* shall~~ consult with other relevant *Anti-Doping Organizations* in order to coordinate *Testing* activities (including whereabouts, Athlete pool selection and Test Distribution Plans) and to avoid duplication. Clear agreement on roles and responsibilities for *Event Testing* shall be agreed in advance in accordance with *Code* Article 5.3. Where such agreement is not possible, *WADA* will resolve the matter in accordance with the principles set out at Annex J – *Event Testing*.
- b) ~~*Anti-Doping Organizations* shall,~~ within fifteen business days of Sample collection enter the *Doping Control* form into ADAMS.
- c) ~~without any unnecessary delay,~~ share information on whereabouts requirements on Athletes where there is overlapping Testing Authority their completed Testing with other relevant Anti-Doping Organizations, via ADAMS ~~or and any other system approved by WADA (as applicable)~~
- d) share information on Athlete Biological Passport programs where there is overlapping Testing Authority via ADAMS.
- e) share intelligence on Athletes where there is overlapping Testing Authority.

4.9.2 *Anti-Doping Organizations* may contract other *Anti-Doping Organizations* or third parties to act as a *Doping Control Coordinator* or *Sample Collection Authorities* on their behalf. In the terms of the contract, the commissioning *Anti-Doping Organization* (which, for these purposes, is the Testing Authority) may ~~specify~~ how any discretion afforded to a Sample Collection Authority under the *International Standard for Testing and Investigations* is to be exercised by the Sample Collection Authority when collecting *Samples* on its behalf.

*[Comment to 4.9.2: For example, the International Standard for Testing and Investigations confers discretion as to the criteria to be used to validate the identity of the Athlete (Article 5.3.4), as to the circumstances in which delayed reporting to the Doping Control Station may be permitted (Article 5.4.4), as to the criteria to be used to ensure that each Sample collected is stored in a manner that protects its integrity, identity and security prior to transport from the*

*Doping Control Station (Article 8.3.1), as to who may be present during the Sample Collection Session (Article 6.3.3), and as to the guidelines to be followed by the DCO in determining whether exceptional circumstances exist that mean a Sample Collection Session should be abandoned without collecting a Sample with a Suitable Specific Gravity for Analysis (Article G.4.6) and share information/intelligence obtained (Article 11).]*

4.9.3 *Anti-Doping Organizations* should consult and coordinate with each other, with WADA, and with law enforcement and other relevant authorities, in obtaining, developing and sharing information and intelligence that can be useful in informing *Test Distribution Planning*, in accordance with ~~Section Article~~ 11.0 of the *International Standard for Testing and Investigations*.

## 5.0 Notification of Athletes

### 5.1 Objective

The objective is to ensure that an *Athlete* who has been selected for *Testing* is properly notified with no advance notice of *Sample* collection as outlined in Article 5.4.1, that the rights of the *Athlete* are maintained, that there are no opportunities to manipulate the *Sample* to be provided, and that the notification is documented.

### 5.2 General

Notification of *Athletes* starts when the *Sample Collection Authority* initiates the notification of the selected *Athlete* and ends when the *Athlete* arrives at the *Doping Control Station* or when the *Athlete's* possible *Failure to Comply* is brought to the *Testing Authority's* attention. The main activities are:

- a) Appointment of *DCOs*, *Chaperones* and other *Sample Collection Personnel* sufficient to ensure No Advance Notice Testing;
- b) Locating the *Athlete* and confirming his/herttheir identity;
- c) Informing the *Athlete* that he/shethey have-has been selected to provide a *Sample* and of his/herttheir rights and responsibilities;
- d) ~~For No Advance Notice Testing, c~~Continuously chaperoning the *Athlete* from the time of notification to the arrival at the designated *Doping Control Station*; and
- e) Documenting the notification, or notification attempt.

### 5.3 Requirements prior to notification of *Athletes*

5.3.1 ~~Save in exceptional and justifiable circumstances,~~ No Advance Notice Testing shall be the method for *Sample* collection save in exceptional and justifiable circumstances as set out in. The Athlete shall be the first person notified that they have been selected for Sample collection, except where prior contact with a third party is required as specified in Article 5.3.8. In order to ensure that Testing is conducted on a No Advance Notice Testing basis, the Testing Authority (and the Sample Collection Authority, if different) shall ensure that Athlete selection decisions are only disclosed in advance of Testing to those who strictly need to know in order for such Testing to be conducted., as set out in Article 5.3.7. Any third party notification shall be conducted in a secure and confidential manner so that there is no risk that the Athlete will receive any advance notice of their selection for Sample collection and shall occur at the end of the Competition in which the Athlete is competing.

*[Comment to 5.3.1: It is not justifiable for a National Federation or other body to insist that it be given advance notice of Testing of Athletes under its jurisdiction so that it can have a representative present at such Testing.]*

5.3.2 The Sample Collection Authority shall appoint and authorise Sample Collection Personnel to conduct or assist with Sample Collection Sessions who have been trained for their assigned responsibilities, who do not have a conflict of interest in the outcome of the *Sample* collection, and who are not Minors.

5.3.3 Sample Collection Personnel shall have official documentation, provided by the Sample Collection Authority, evidencing their authority to collect a *Sample* from the *Athlete*, such as an authorisation letter from the Testing Authority. DCOs and BCOs shall also carry complementary identification which includes their name and photograph (i.e., identification card from the Sample Collection Authority, driver's licence, health card, passport or similar valid identification) and the expiry date of the identification.

5.3.4 The Testing Authority or otherwise the Sample Collection Authority shall establish criteria to validate the identity of an *Athlete* selected to provide a *Sample*. This ensures the selected *Athlete* is the *Athlete* who is notified. ~~The method of identification of the Athlete shall be documented on the Doping Control form.~~

5.3.5 The Sample Collection Authority, DCO or Chaperone, as applicable, shall establish the location of the selected *Athlete* and plan the approach and timing of notification, taking into consideration the specific circumstances of the sport/*Competition*/training session/etc. and the situation in question.

5.3.6 The Sample Collection Authority shall ~~establish a system for the detailed recording of document~~ Athlete notification attempt(s) as specified in Article 7.4.5 and outcome(s) including unsuccessful attempts.

~~5.3.7 The Athlete shall be the first person notified that he/she/they have been selected for Sample collection, except where prior contact with a third party is required as specified in Article 5.3.8.~~

~~5.3.8~~ 5.3.7 The Sample Collection Authority/DCO/Chaperone, as applicable, shall consider whether a third party is required to be notified prior to notification ~~of the Athlete~~, when the Athlete is a Minor (as provided for in Annex C – Modifications for Athletes who are Minors), or where required by an Athlete's impairment (as provided for in Annex B - Modifications for Athletes with Impairments), or in situations where an interpreter is required and available for the notification.

*[Comment to 5.3.7: ~~In the case of In-Competition Testing, it is permissible to notify third parties that Testing of Minors or Athletes with impairments will be conducted, where required to help the Sample Collection Personnel to identify the Athlete(s) to be tested and to notify such Athlete(s) that he/she/they are required to provide a Sample. However, there is no requirement to notify any third party (e.g., a team doctor) of the Doping Control mission where such assistance is not needed. Any third party notification must be conducted in a secure and confidential manner so that there is no risk that the Athlete will receive any advance notice of his/her selection for Sample collection. Generally it should occur at the end of the Competition in which the Athlete is competing or as close as possible to the end.]~~*

#### 5.4 Requirements for notification of Athletes

5.4.1 When initial contact is made, the Sample Collection Authority, DCO or Chaperone, as applicable, shall ensure that the Athlete and/or a third party (if required in accordance with Article 5.3.8) is informed:

- a) That the Athlete is required to undergo a Sample collection;
- b) Of the authority under which the Sample collection is to be conducted;
- c) Of the type of Sample collection and any conditions that need to be adhered to prior to the Sample collection;
- d) Of the Athlete's rights, including the right to:
  - i. Have a representative and, if available, an interpreter accompany him/her/them, in accordance with Article 6.3.3(a);
  - ii. Ask for additional information about the Sample collection process;

- iii. Request a delay in reporting to the Doping Control Station for valid reasons; and
  - iv. Request modifications as provided for in Annex B – Modifications for *Athletes* with Impairments.
- e) Of the *Athlete's* responsibilities, including the requirement to:
- i. Remain within direct observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the *Sample* collection procedure;
  - ii. Produce identification in accordance with Article 5.3.4;
  - iii. Comply with *Sample* collection procedures (and the *Athlete* should be advised of the possible *Consequences* of a failure to comply); and
  - iv. Report immediately for *Sample* collection, unless there are valid reasons for a delay, as determined in accordance with Article 5.4.4.
- f) Of the location of the Doping Control Station;
- g) That should the *Athlete* choose to consume food or fluids prior to providing a *Sample*, he/shethey does so at his/hertheir own risk;
- h) Not to hydrate excessively, since this may delay the production of a suitable *Sample*; and
- i) That any urine *Sample* provided by the *Athlete* to the Sample Collection Personnel ~~should~~ shall be the first urine passed by the *Athlete* subsequent to notification, i.e., he/shethey ~~should~~ shall not pass urine in the shower or otherwise prior to providing a *Sample* to the Sample Collection Personnel.

5.4.2 When contact is made, the DCO/Chaperone shall:

- a) From the time of such contact until the *Athlete* leaves the Doping Control Station at the end of his/hertheir Sample Collection Session, keep the *Athlete* under observation at all times;
- b) Identify themselves to the *Athlete* using the documentation referred to in Article 5.3.3; and
- c) Confirm the *Athlete's* identity as per the criteria established in

Article 5.3.4. Confirmation of the *Athlete's* identity by any other method, or failure to confirm the identity of the *Athlete*, shall be documented and reported to the Testing Authority. In cases where the *Athlete's* identity cannot be confirmed as per the criteria established in Article 5.3.4, the Testing Authority shall decide whether it is appropriate to follow up in accordance with Annex A – Investigating a Possible Failure to Comply.

5.4.3 The Chaperone/DCO shall have the *Athlete* sign an appropriate form to acknowledge and accept the notification. If the *Athlete* refuses to sign that ~~he/she has~~ they have been notified, or evades the notification, the Chaperone/DCO shall, if possible, inform the *Athlete* of the *Consequences* of refusing or failing to comply, and the Chaperone (if not the DCO) shall immediately report all relevant facts to the DCO. When possible the DCO shall continue to collect a *Sample*. The DCO shall document the facts in a detailed report and report the circumstances to the Testing Authority. The Testing Authority shall follow the steps prescribed in Annex A – Investigating a Possible Failure to Comply.

5.4.4 The DCO/Chaperone may at ~~his/her~~ their discretion consider any reasonable third party request or any request by the *Athlete* for permission to delay reporting to the Doping Control Station following acknowledgment and acceptance of notification, and/or to leave the Doping Control Station temporarily after arrival, and may grant such permission if the *Athlete* can be continuously chaperoned and kept under direct observation during the delay. ~~For example, a~~ Delayed reporting to/temporary departure from the Doping Control Station may be permitted for the following activities:

- a) For *In-Competition Testing*:
  - i) Participation in a presentation ceremony;
  - ii) Fulfilment of media commitments;
  - iii) Competing in further *Competitions*;
  - iv) Performing a warm down;
  - v) Obtaining necessary medical treatment;
  - vi) Locating a representative and/or interpreter;
  - vii) Obtaining photo identification; or
  - viii) Any other reasonable circumstances, as determined by the

DCO, taking into account any instructions of the Testing Authority.

b) For *Out-of-Competition Testing*:

- i) Locating a representative;
- ii) Completing a training session;
- iii) Receiving necessary medical treatment;
- iv) Obtaining photo identification; or
- v) Any other reasonable circumstances, as determined by the DCO, taking into account any instructions of the Testing Authority.

5.4.5 The DCO or other authorised Sample Collection Personnel shall document any reasons for delay in reporting to the Doping Control Station and/or reasons for leaving the Doping Control Station that may require further investigation by the Testing Authority. Any failure of the *Athlete* to remain under constant observation ~~shall~~ should also be recorded.

5.4.6 A DCO/Chaperone shall reject a request for delay from an *Athlete* if it will not be possible for the *Athlete* to be continuously observed during such delay.

5.4.7 If the *Athlete* delays reporting to the Doping Control Station other than in accordance with Article 5.4.4 but arrives prior to the DCO's - departure, the DCO shall ~~decide whether to process~~ report a possible Failure to Comply. If at all possible the DCO shall proceed with collecting a Sample and shall document the details of the *Athlete's* delay in reporting to the Doping Control Station.

5.4.8 If Sample Collection Personnel observe any matter with potential to compromise the collection of the Sample, the circumstances shall be reported to and documented by the DCO. If deemed appropriate by the DCO, the DCO shall follow the requirements of Annex A – Investigating a Possible Failure to Comply, and/or consider if it is appropriate to collect an additional Sample from the *Athlete*.

## 6.0 Preparing for the Sample Collection Session

### 6.1 Objective

To prepare for the Sample Collection Session in a manner that ensures that the session can be conducted efficiently and effectively.

### 6.2 General

Preparing for the Sample Collection Session starts with the establishment of a system for obtaining relevant information for effective conduct of the session and ends when it is confirmed that the Sample Collection Equipment conforms to the specified criteria. The main activities are:

- a) Establishing a system for collecting details regarding the Sample Collection Session;
- b) Establishing criteria for who may be present during a Sample Collection Session;
- c) Ensuring that the Doping Control Station meets the minimum criteria prescribed in Article 6.3.2; and
- d) Ensuring that the Sample Collection Equipment meets the minimum criteria prescribed in Article 6.3.4.

### 6.3 Requirements for preparing for the Sample Collection Session

6.3.1 The Testing Authority or ~~otherwise the~~ Doping Control Coordinator or Sample Collection Authority shall establish a system for obtaining all the information necessary to ensure that the Sample Collection Session can be conducted effectively, including identifying special requirements to meet the needs of *Athletes* with impairments (as provided in Annex B – Modifications for *Athletes* with Impairments) as well as the needs of *Athletes* who are Minors (as provided in Annex C – Modifications for *Athletes* who are Minors).

6.3.2 The DCO shall use a Doping Control Station which, at a minimum, ensures the *Athlete's* privacy and where possible is used solely as a Doping Control Station for the duration of the Sample Collection Session. The DCO shall record any significant deviations from these criteria.

6.3.3 The Testing Authority or Sample Collection Authority shall establish criteria for who may be authorized to be present during the Sample Collection Session in addition to the Sample Collection Personnel. At a minimum, the criteria shall include:



- a) An *Athlete's* entitlement to be accompanied by a representative and/or interpreter during the Sample Collection Session, except when the *Athlete* is passing a urine *Sample*;
- b) A Minor Athlete's entitlement (as provided for in Annex C – Modifications for *Athletes* who are Minors), and the witnessing DCO/Chaperone's entitlement to have a representative observe the witnessing DCO/Chaperone when the Minor Athlete is passing a urine *Sample*, but without the representative directly observing the passing of the *Sample* unless requested to do so by the Minor Athlete;
- c) The entitlement of an *Athlete* with an impairment to be accompanied by a representative as provided for in Annex B - Modifications for *Athletes* with Impairments;
- d) A WADA appointed observer or auditor (where applicable) under the *Independent Observer Program*. The WADA observer shall not directly observe the passing of a urine *Sample*; and/or
- e) An observer from the Anti-Doping Organization who is involved in the training of Sample Collection Personnel or internal auditing of the Sample Collection Authority.

6.3.4 The Sample Collection Authority shall only use Sample Collection Equipment systems for urine and blood Samples which, at a minimum:

- a) Have a unique numbering system, incorporated into all A and B bottles, containers, tubes or other items used to seal the *Sample* and have a barcode or similar data code which meets the requirements of ADAMS on the applicable Sample Collection Equipment;
- b) Have a Tamper Evident sealing system ~~that is tamper-evident~~;
- c) Ensure the identity of the *Athlete* is not evident from the equipment itself; ~~and~~
- d) Ensure that all equipment is clean and sealed prior to use by the *Athlete*.
- e) Are constructed of a material and sealing system that is able to withstand the handling conditions and environment in which the equipment will be used or subjected to, including but not limited to transportation, Laboratory analysis and long term frozen storage up to the period of the statute of limitations;

- f) Are constructed of a material and sealing system that will;
- (i) maintain the integrity (chemical and physical properties) of the *Sample* for the Analytical Testing
  - (ii) can withstand temperatures of -80 °C for urine and blood. Tests conducted to determine integrity under freezing conditions shall use the matrix that will be stored in the *Sample* bottles, containers or tubes i.e. blood or urine;
  - (iii) are constructed of a material and sealing system that can withstand a minimum of three freeze/thaw cycles;
- g) The A and B bottles, containers and tubes shall be transparent so the *Sample* is visible;
- h) Have a sealing system which allows verification by the Athlete and the Doping Control Officer that the *Sample* is correctly sealed in the A and B bottles or containers;
- i) Have a built in security identification feature(s) which allows verification of the authenticity of the equipment;
- j) Are compliant with the standards published by the International Air Transport Association (IATA) for the transport of exempt human specimens which includes urine and/or blood *Samples* in order to prevent leakage during transportation by air;
- k) Have been manufactured under the internationally recognized ISO 9001 certified process which includes quality control management systems;
- l) Can be resealed after initial opening by a Laboratory using a new unique Tamper Evident sealing system with a unique numbering system to maintain the integrity of the *Sample* and Chain of Custody in accordance with the requirements of the International Standard for Laboratories for long term storage of the *Sample* and further analysis;
- m) Have undergone testing by a testing institution that is independent of the manufacturer and is ISO 17025 accredited, to validate at a minimum that the equipment meets the criteria set out in subsections b), f), g), h), i), j) and l) above.

- n) Any modification to the material or sealing system of the equipment shall require re-testing as outlined in m) above to ensure the equipment continues to meet the stated requirements;

**For urine Sample collection:**

- o) Have the capacity to contain a minimum of 85mL volume of urine in each bottle or container;
- p) Have a visual marking on the A and B bottles or containers and the collection vessel, that indicates:
- i) the minimum volume of urine required in each A and B bottle or containers as outlined in Annex D of the International Standard for Testing and Investigations;
  - ii) the maximum volume levels that allow for expansion when frozen without compromising the bottle, container or the sealing system; and
  - iii) the level of Suitable Volume for Urine for Analysis on the collection vessel.
- q) Include a partial Sample Tamper Evident sealing system to temporarily seal a Sample with an insufficient volume in accordance with Annex F of the International Standard for Testing and Investigations;

**For blood Sample collection:**

- r) Have the ability to collect, store and transport blood in separate A and B tubes and containers;
- s) For the analysis of Prohibited Substances or Prohibited Methods in whole blood or plasma and/or for profiling blood parameters, the A and B tubes must have the capacity to contain a minimum of 3mL of blood and shall contain EDTA as an anti-coagulant;
- t) For the analysis of Prohibited Substances or Prohibited Methods in serum, the A and B tubes must have the capacity to contain a minimum of 5mL of blood and shall contain an inert polymeric serum separator gel and clotting activation factor; and
- u) For the transport of blood Samples, ensure the storage and

transport device and temperature logger meet the requirements listed in Annex K of the [International Standard for Testing and Investigations](#).

[Comment to 6.3.4: It is strongly recommended that prior to the equipment being made commercially available to stakeholders, that such equipment is distributed to the anti-doping community, which may include Athletes, [Testing Authorities](#), [Sample Collection Authorities](#), [Sample Collection Personnel](#), and [Laboratories](#) to seek feedback and ensure the equipment is fit for purpose.

[Comment to 6.3.4 s) and t): If specific tubes have been indicated in the applicable WADA International Standard, Technical Document or Guidelines, then the use of alternative tubes which meet similar criteria shall be validated with the involvement of the relevant Laboratory(ies) and approved by WADA prior to use for Sample collection.]

~~6.3.51.1.1 The [Sample Collection Authority](#) shall develop a system for recording the [Chain of Custody](#) of the [Samples](#) and [Sample collection](#) documentation which includes confirming that both the [Samples](#) and [Sample collection](#) documentation have arrived at their intended destinations.~~

~~[Comment to 6.3.5: Information as to how a Sample is stored prior to departure from the [Doping Control Station](#) may be recorded on (for example) a post mission report. When the Sample is taken from the [Doping Control Station](#), each transfer of custody of the Sample from one person to another, e.g. from the [DCO](#) to the courier, or from the [DCO](#) to the laboratory, should be documented, up until the Sample arrives at its intended destination.]~~

## 7.0 Conducting the Sample Collection Session

### 7.1 Objective

To conduct the Sample Collection Session in a manner that ensures the integrity, security and identity of the *Sample* and respects the privacy and dignity of the *Athlete*.

### 7.2 General

The Sample Collection Session starts with defining overall responsibility for the conduct of the Sample Collection Session and ends once the *Sample* has been collected and secured and the *Sample* collection documentation is complete. The main activities are:

- a) Preparing for collecting the *Sample*;
- b) Collecting and securing the *Sample*; and
- c) Documenting the *Sample* collection.

### 7.3 Requirements prior to Sample collection

7.3.1 The Sample Collection Authority shall be responsible for the overall conduct of the Sample Collection Session, with specific responsibilities delegated to the DCO.

7.3.2 The DCO shall ensure that the *Athlete* has been informed of his/her/their rights and responsibilities as specified in Article 5.4.1.

7.3.3 The DCO shall provide the *Athlete* with the opportunity to hydrate. The *Athlete* should avoid excessive rehydration, having in mind the requirement to provide a *Sample* with a Suitable Specific Gravity for Analysis.

7.3.4 The *Athlete* shall only leave the Doping Control Station under continuous observation by the DCO or Chaperone and with the approval of the DCO. The DCO shall consider any reasonable request by the *Athlete* to leave the Doping Control Station, as specified in Articles 5.4.4, 5.4.5 and 5.4.6, until the *Athlete* is able to provide a *Sample*.

7.3.5 If the DCO gives approval for the *Athlete* to leave the Doping Control Station, the DCO shall agree with the *Athlete* on the following conditions of leave:

- a) The purpose of the *Athlete* leaving the Doping Control Station;

- b) The time of return (or return upon completion of an agreed activity);
- c) That the *Athlete* must remain under continuous observation throughout;
- d) That the *Athlete* shall not pass urine until ~~he/she gets~~they arrive back to the Doping Control Station; and
- e) The DCO shall document the time of the *Athlete's* departure and return.

#### 7.4 Requirements for Sample collection

7.4.1 The DCO shall collect the *Sample* from the *Athlete* according to the following protocol(s) for the specific type of *Sample* collection:

- a) Annex D: Collection of Urine *Samples*;
- b) Annex E: Collection of Blood *Samples*
- c) Annex K: Collection, Storage and Transportation of *Blood Samples* for the ABP.

7.4.2 Any behaviour by the *Athlete* and/or *Persons* associated with the *Athlete* or anomalies with potential to compromise the *Sample* collection shall be recorded in detail by the DCO. If appropriate, the Testing Authority shall institute Annex A – Investigating a Possible Failure to Comply.

7.4.3 If there are doubts as to the origin or authenticity of the *Sample*, the *Athlete* shall be asked to provide an additional *Sample*. If the *Athlete* refuses to provide an additional *Sample*, the DCO shall document in detail the circumstances around the refusal, and the Testing Authority shall institute Annex A – Investigating a Possible Failure to Comply.

7.4.4 The DCO shall provide the *Athlete* with the opportunity to document any concerns ~~he/shethey~~ may have about how the Sample Collection Session was conducted.

7.4.5 In conducting the Sample Collection Session, the following information shall be recorded as a minimum:

- a) Date; ~~and time~~ ~~and type~~ of notification ~~(no advance notice or advance notice)~~;
- b) Arrival time at Doping Control Station;

- c) Date and time of sealing of each Sample collected and date and time of completion of entire Sample collection process (i.e., the time when the Athlete signs the declaration at the bottom of the *Doping Control* form);
- d) The name of the Athlete;
- e) The date of birth of the Athlete;
- f) The gender of the Athlete;
- g) Means by which the Athlete's identity is validated (e.g. passport, driver's license or athlete accreditation);
- g)h) The Athlete's home address, email address and telephone number;
- h)i) The Athlete's sport and discipline (in accordance with the TDSSA);
- h)j) The name of the Athlete's coach and doctor;
- j)k) The Sample code number and reference to the equipment manufacturer;
- k)l) The type of the Sample (urine, blood, etc);
- l)m) The type of test (*In-Competition* or *Out-of-Competition*);
- m)n) The name and signature of the witnessing DCO/Chaperone;
- n)o) The name and signature of the Blood Collection Officer (where applicable);
- o)p) Partial Sample information, as per Article F.4.4;
- p)q) Required laboratory information on the Sample (i.e., for a urine Sample, its volume and specific gravity measurement);
- q)r) Medications and supplements taken within the previous seven days and (where the Sample collected is a blood Sample) blood transfusions within the previous three months, as declared by the Athlete;
- s) For an ABP blood Sample the DCO/BCO shall record the information as outlined in Annex K (see Comment to 7.4.5).
- t) Any irregularities in procedures for example, if advance notice was provided;

- t)u) Athlete comments or concerns regarding the conduct of the Sample Collection Session, as declared by the Athlete;
- u)v) Athlete consent for the processing of Sample collection data;
- v)w) Athlete consent or otherwise for the use of the Sample(s) for research purposes;
- w)x) The name and signature of the Athlete's representative (if applicable), as per Article 7.4.6;
- x)y) The name and signature of the Athlete;
- y)z) The name and signature of the DCO;
- z)aa) The name of the Testing Authority;
- aa)bb) \_\_\_\_\_ The name of the Sample Collection Authority; and
- bb)cc) The name of the Results Management Authority.
- dd) The name of the Doping Control Coordinator (if applicable).

*[Comment to 7.4.5: All of the aforementioned information need not be consolidated in a single Doping Control Form but rather may be collected through the Doping Control and/or other official documentation such as a separate Notification form and/or Supplementary report. In addition to this information, additional requirements for the collection of Blood Samples for the ABP can be found in Annex K of this Standard.]*

7.4.6 At the conclusion of the Sample Collection Session the Athlete and DCO shall sign appropriate documentation to indicate their satisfaction that the documentation accurately reflects the details of the Athlete's Sample Collection Session, including any concerns expressed by the Athlete. The Athlete's representative, ~~(if any present and who witnessed the proceedings,)~~ should and the Athlete shall both sign the documentation, ~~if the Athlete is a Minor. Other persons present who had a formal role during the Athlete's Sample Collection Session may sign the documentation as a witness of the proceedings.~~

7.4.7 The ~~DCO shall provide the Athlete~~ shall be provided with a copy of the records of the Sample Collection Session that have been signed by the Athlete whether electronically or otherwise.



## 8.0 Security/Post-test administration

### 8.1 Objective

To ensure that all *Samples* collected at the Doping Control Station and *Sample* collection documentation are securely stored prior to ~~their dispatch~~transport from the Doping Control Station.

### 8.2 General

Post-test administration begins when the *Athlete* has left the Doping Control Station after providing ~~his/her~~their *Sample(s)* and ends with preparation of all of the collected *Samples* and *Sample* collection documentation for transport.

### 8.3 Requirements for security/post-test administration

8.3.1 The Sample Collection Authority shall define criteria ensuring that each *Sample* collected is stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station. At a minimum, these criteria should include detailing and documenting the location where *Samples* are stored and who has custody of the *Samples* and/or is permitted access to the *Samples*. The DCO shall ensure that any *Sample* is stored in accordance with these criteria.

8.3.2 The Sample Collection Authority shall develop a system for recording the Chain of Custody of the Samples and Sample collection documentation to ensure that the documentation for each *Sample* is completed and securely handled. This shall include confirming that both the Samples and Sample collection documentation have arrived at their intended destinations.

Whilst the Chain of Custody is an important part of the Doping Control process, the Laboratory shall confirm to the Testing Authority the condition of Samples upon arrival and report if the security and integrity of the Sample has been maintained.]

8.3.3 The Sample Collection Authority shall develop a system to ensure that, where required, instructions for the type of analysis to be conducted are provided to the laboratory that will be conducting the analysis. In addition, the *Anti-Doping Organization* shall provide the laboratory with information as required under Article 7.4.5 c), f), ~~h), i), j), k), l), m), p), q), r), w), y), z)~~ and aa), bb) and cc) for -result reporting and statistical purposes.

8.3.4 The *Sample* Collection Authority shall develop a system for recording the Chain of Custody of the *Samples* and *Sample* collection documentation which includes confirming that both the *Samples* and *Sample* collection documentation have arrived at their intended destinations.

*[Comment to 8.3.26.3.5: Information as to how a Sample is stored prior to departure from the Doping Control Station may be recorded on (for example) a post-mission report. When the Sample is taken from the Doping Control Station, each transfer of custody of the Sample from one person to another, e.g. from the DCO to the courier, or from the DCO to the laboratory, should be documented, up until the Sample arrives at its intended destination.]*

## 9.0 Transport of Samples and documentation

### 9.1 Objective

- a) To ensure that *Samples* and related documentation arrive at the laboratory that will be conducting the analysis in proper condition to do the necessary analysis; and
- b) To ensure the Sample Collection Session documentation is sent by the DCO to the Testing Authority in a secure and timely manner.

### 9.2 General

9.2.1 Transport starts when the *Samples* and related documentation leave the Doping Control Station and ends with the confirmed receipt of the *Samples* and Sample Collection Session documentation at their intended destinations.

9.2.2 The main activities are arranging for the secure transport of *Samples* and related documentation to the laboratory that will be conducting the analysis and arranging for the secure transport of the Sample Collection Session documentation to the Testing Authority.

### 9.3 Requirements for transport and storage of Samples and documentation

9.3.1 The Sample Collection Authority shall authorize a transport system that ensures *Samples* and documentation are transported in a manner that protects their integrity, identity and security.

9.3.2 *Samples* shall always be transported to the laboratory that will be analyzing the *Samples* using the Sample Collection Authority's authorised transport method, as soon as possible practicable after the completion of the Sample Collection Session. *Samples* shall be transported in a manner which minimizes the potential for *Sample* degradation due to factors such as time delays and extreme temperature variations.

*[Comment to 9.3.2: Anti-Doping Organizations should discuss transportation requirements for particular missions (e.g., where the Sample has been collected in less than hygienic conditions, or where delays may occur in transporting the Samples to the laboratory) with the laboratory that will be analyzing the Samples, to establish what is necessary in the particular circumstances of such mission (e.g., refrigeration or freezing of the Samples).]*

9.3.3 Documentation identifying the *Athlete* shall not be included with the *Samples* or documentation sent to the laboratory that will be analyzing the *Samples*.

9.3.4 The DCO shall send all relevant Sample Collection Session documentation to the Sample Collection Authority, using the Sample Collection Authority's authorised transport method, as soon as practicable after the completion of the Sample Collection Session.

9.3.5 If the *Samples* with accompanying documentation or the Sample Collection Session documentation are not received at their respective intended destinations, or if a *Sample's* integrity or identity may have been compromised during transport, the Sample Collection Authority shall check the Chain of Custody, and the Testing Authority shall consider whether the *Samples* should be voided.

9.3.6 Documentation related to a Sample Collection Session and/or an anti-doping rule violation shall be stored by the Testing Authority and/or the Sample Collection Authority for the period and other requirements specified in the *International Standard* for the Protection of Privacy and Personal Information.

*[Comment to 9.3: While the requirements for transport and storage of Samples and documentation herein apply equally to all Urine, Blood and Blood ABP Samples, additional requirements for the transportation of Blood Samples for the ABP can be found in Annex K of this Standard.]*

## 10.0 Ownership of Samples

10.1 Samples collected from an Athlete are owned by the *Testing Authority* for the Sample Collection Session in question.

10.2 The *Testing Authority* may transfer ownership of the Samples to the Results Management Authority or to another *Anti-Doping Organization* upon request.

[Comment to 10.20: MEOs in particular are encouraged to transfer custody of Samples to other ADOs which may have more extensive Sample retention and reanalysis strategies such as those with robust ABP programs.]

10.3 WADA may assume Testing Authority in certain circumstances in accordance with the Code and the International Standard for Laboratories.

## PART THREE: STANDARDS FOR INTELLIGENCE GATHERING AND INVESTIGATIONS

### 11.0 Gathering, assessment and use of intelligence

#### 11.1 **Objective and general**

11.1.1 Code Article 5.8 requires *Anti-Doping Organizations* and WADA to obtain, assess and process anti-doping intelligence from all available sources, to be used to help deter and detect doping, by informing the development of an effective, intelligent and proportionate Test Distribution Plan, and/or the planning of *Target Testing*, investigating Atypical Findings and Adverse Passport Findings and/or by forming the basis of an investigation into a possible anti-doping rule violation(s), and/or other potential violation(s) of a rule adopted under Code Article 12. The objective of this ~~Section Article~~ 11.0 of the *International Standard for Testing and Investigations* is to establish -standards for the efficient and effective gathering, assessment and -processing of such intelligence for these purposes.

*[Comment to 11.1.1: While Testing will always remain an integral part of the anti-doping effort, Testing alone is not always sufficient to detect and establish to the requisite standard all of the anti-doping rule violations identified in the Code. In particular, while Use of Prohibited Substances and Prohibited Methods may often be uncovered by analysis of Samples, the other Code anti-doping rule violations (and, often, Use) can usually only be effectively identified and pursued through the gathering and investigation of 'non-analytical' anti-doping intelligence and information. This means that Anti-Doping Organizations need to develop efficient and effective intelligence-gathering and investigation functions. WADA has devised Intelligence and Investigations Guidelines with case studies to assist Anti-Doping Organizations to better understand the types of 'non-analytical' intelligence that may be available and to provide support and guidance to Signatories in their efforts to comply with the Code and the International Standards. Further, Article 5.8 of the Code permits WADA to investigate information that indicates a potential violation of a rule adopted under the Code Article 12, including compliance with the Code in accordance with Code Article 23.5 and the International Standard for Code Compliance by Signatories].*

## 11.2 Gathering of anti-doping intelligence

11.2.1 *Anti-Doping Organizations* shall do everything in their power to ensure that they are able to capture or receive anti-doping intelligence from all available sources, including [but not limited to](#) *Athletes* and *Athlete Support Personnel* (including *Substantial Assistance* provided pursuant to Code Article 10.67.1) and members of the public (e.g., by means of a confidential telephone hotline), *Sample Collection Personnel* (whether via mission reports, incident reports, or otherwise), *Laboratories*, pharmaceutical companies, [International Federations](#), National Federations, law enforcement, other regulatory and disciplinary bodies, and the media [\(in all its forms\)](#).

11.2.2 *Anti-Doping Organizations* shall have policies and procedures in place to ensure that anti-doping intelligence captured or received is handled securely and confidentially, that sources of intelligence are protected, that the risk of leaks or inadvertent disclosure is properly addressed, and that intelligence shared with them by law enforcement, other relevant – authorities and/or other third parties, is processed, used and disclosed only for legitimate anti-doping purposes.

## 11.3 Assessment and analysis of anti-doping intelligence

11.3.1 *Anti-Doping Organizations* shall ensure that they are able to assess – all anti-doping intelligence upon receipt for relevance, reliability and accuracy, taking into account the nature of the source and the circumstances in which the intelligence has been captured or received.

*[Comment to 11.3.1: There are various models that may be used as the basis for the assessment and analysis of anti-doping intelligence. There are also powerful databases and case management systems that may be used to assist in the organization, processing, analysis and cross-referencing of such intelligence.]*

11.3.2 All anti-doping intelligence captured or received by an *Anti-Doping Organization* should be collated and analysed to establish patterns, trends and relationships that may assist the *Anti-Doping Organization* in developing an effective anti-doping strategy and/or in determining (where the intelligence relates to a particular case) whether there is reasonable cause to suspect that an anti-doping rule violation may have been committed, such that further investigation is warranted in accordance with [SectionArticle](#) 12.0 of the *International Standard for Testing and Investigations*.

## 11.4 Intelligence outcomes

11.4.1 Anti-doping intelligence shall be used to assist ~~in~~ for the following purposes (without limitation) developing, reviewing and revising the Test Distribution Plan and/or in determining when to conduct *Target Testing*, in each case in accordance with ~~Section~~ Article 4.0 of the *International Standard for Testing and Investigations*, and/or to create targeted intelligence files to be referred for investigation in accordance with ~~Section~~ Article 12.0 of the *International Standard for Testing and Investigations*.

11.4.2 *Anti-Doping Organizations* should also develop and implement policies and procedures for the sharing of intelligence (where appropriate, and subject to applicable law) with other *Anti-Doping Organizations* (e.g., if the intelligence relates to *Athletes* or other *Persons* under their jurisdiction) and/or law enforcement and/or other relevant regulatory or disciplinary authorities (e.g., if the intelligence suggests the possible commission of a crime or regulatory offence or breach of other rules of conduct).

11.4.3 *Anti-Doping Organizations* should develop and implement policies and procedures to facilitate and encourage whistleblowers as outlined within WADA's Whistleblower policy contained on WADA's website.

## 12.0 Investigations

### 12.1 Objective

12.1.1 The objective of this ~~Section~~ Article 12.0 of the *International Standard for Testing and Investigations* is to establish standards for the efficient and effective conduct of investigations that *Anti-Doping Organizations* must conduct under the *Code*, including but not limited to:

- a) the investigation of *Atypical Findings*, Atypical Passport Findings and Adverse Passport Findings, in accordance with ~~Code Articles 7.4 and 7.5 respectively~~ the International Standard for Results Management;
- b) the investigation of any other analytical or non-analytical information and/or intelligence where there is reasonable cause to suspect that an anti-doping rule violation may have been committed, in accordance with the International Standard for Results Management ~~Code Articles 7.6 and 7.7 respectively~~; and
- c) the investigation of the circumstances surrounding and/or arising from an Adverse Analytical Finding (see Article 12.2.2) to gain further intelligence on other Persons or methods involved in anti-doping (e.g. interviewing the relevant Athlete);

d) where an anti-doping rule violation by an Athlete is established, the investigation into whether Athlete Support Personnel or other Persons may have been involved in that violation, in accordance with *Code Article 20*; and

e) non-compliance by Signatories and WADA accredited laboratories under *Code Article 20.7.11*.

12.1.2 In each case, the purpose of the investigation is to achieve one of the following: either (a) to rule out the possible violation/involvement in a violation; ~~or~~ (b) to develop evidence that supports the initiation of an anti-doping rule violation proceeding in accordance with *Code Article 8* ~~or c) to provide evidence of a breach of the *Code* or applicable International Standard.~~

## 12.2 Investigating *Atypical Findings* and *Adverse Passport Findings*

12.2.1 *Anti-Doping Organizations* shall ensure that they are able to investigate confidentially and effectively *Atypical Findings* and *Adverse Passport Findings* arising out of *Testing* conducted on their behalf and/or for which they are the *Results Management Authority*, in accordance with the requirements of *the International Standard for Results Management Code Articles 7.4 and 7.5 respectively*, and of the *International Standard for Laboratories*.

12.2.2 The *Anti-Doping Organization* shall provide to *WADA* upon request (or shall procure that the *Testing Authority*, if different, provides to *WADA* upon request) further information regarding the circumstances of *Adverse Analytical Findings*, *Atypical Findings*, and other potential anti-doping rule violations, such as (without limitation):

- a) the Competition level of the Athlete in question;
- b) what whereabouts information (if any) the Athlete in question provides, and whether that information was used to locate him/her/them for the Sample collection that led to the *Adverse Analytical Finding* or the *Atypical Finding*;
- c) the timing of the *Sample* collection in question relative to the Athlete's training and Competition schedules; and
- d) other such profile information as determined by *WADA*.



## 12.3 Investigating other possible anti-doping rule violations

12.3.1 *Anti-Doping Organizations* shall ensure that they are able to investigate confidentially and effectively any other analytical or non-analytical information or intelligence that indicates there is reasonable cause to suspect that an anti-doping rule violation may have been committed, in accordance with [the International Standard for Results Management Code Articles 7.6 and 7.7, respectively](#).

*[Comment to 12.3.1: Where an attempt to collect a Sample from an Athlete produces information indicating a possible evasion of Sample collection and/or refusal or failure to submit to Sample collection after due notification, in violation of Code Article 2.3, or possible Tampering or Attempted Tampering with Doping Control, in violation of Code Article 2.5, the matter shall be investigated in accordance with Annex A – Investigating a Possible Failure to Comply.]*

12.3.2 When, [following a preliminary review](#), there is reasonable cause to suspect that an anti-doping rule violation may have been committed, the *Anti-Doping Organization* shall notify WADA that it is starting an investigation into the matter in accordance with [the International Standard for Results Management Code Article 7.6 or Code Article 7.7](#), as applicable. Thereafter the *Anti-Doping Organization* shall keep WADA updated on the status and findings of the investigation upon request.

12.3.3 The *Anti-Doping Organization* shall gather and record all relevant information and documentation as soon as possible, in order to develop that information and documentation into admissible and reliable evidence in relation to the possible anti-doping rule violation, and/or to identify further lines of enquiry that may lead to the discovery of such evidence. The *Anti-Doping Organization* shall ensure that investigations are conducted fairly, objectively and impartially at all times. The conduct of investigations, the evaluation of information and evidence identified in the course of that investigation, and the outcome of the investigation, shall be fully documented.

*[Comment to 12.3.3: It is important that information is provided to and gathered by the investigating Anti-Doping Organization as quickly as possible and in as much detail as possible, because the longer the period between the incident and investigation, the greater the risk that certain evidence may no longer exist. Investigations should not be conducted with a closed mind, pursuing only one outcome (e.g., institution of anti-doping rule violation proceedings against an Athlete or other Person). Rather, the investigator(s) should be open to and should consider all possible outcomes at each key stage of the investigation, and should seek to gather not only any available evidence indicating that there is a case to answer but also any available evidence indicating that there is no case to answer.]*

12.3.4 The *Anti-Doping Organization* should make use of all investigative resources reasonably available to it to conduct its investigation. This may include obtaining information and assistance from law enforcement and other relevant authorities, including other regulators. However, the *Anti-Doping Organization* should also make full use of all investigative resources at its own disposal, including the *Athlete Biological Passport* program, investigative powers conferred under applicable rules (e.g., the power to demand the production of relevant documents and information, and the power to interview both potential witnesses and the *Athlete* or other *Person* who is the subject of the investigation), and the power to suspend a period of *Ineligibility* imposed on an *Athlete* or other *Person* in return for the provision of *Substantial Assistance* in accordance with *Code* Article 10.7.1.

12.3.5 *Athletes* and *Athlete Support Personnel* are required under *Code* Article 21 to cooperate with investigations conducted by *Anti-Doping Organizations*. If they fail to do so, disciplinary action should be taken against them under applicable rules. If their conduct amounts to subversion of the investigation process (e.g., by providing false, misleading or incomplete information, and/or by destroying potential evidence), the *Anti-Doping Organization* should bring proceedings against them for violation of *Code* Article 2.5 (*Tampering* or *Attempted Tampering*).

## 12.4 Investigation outcomes

12.4.1 The *Anti-Doping Organization* shall come to a decision efficiently and without undue delay as to whether proceedings should be brought against the *Athlete* or other *Person* asserting commission of an anti-doping rule violation. As set out in *Code* Article 13.3, if an *Anti-Doping Organization* fails to make such decision within a reasonable deadline set by WADA, WADA may elect to appeal directly to CAS as if the *Anti-Doping Organization* had rendered a decision finding that no anti-doping rule violation has been committed. As noted in the comment to *Code* Article 13.3, however, before taking such action WADA will consult with the *Anti-Doping Organization* and give it an opportunity to explain why it has not yet rendered a decision.

12.4.2 Where the *Anti-Doping Organization* concludes based on the results of its investigation that proceedings should be brought against the *Athlete* or other *Person* asserting commission of an anti-doping rule violation, it shall give notice of that decision in the manner set out in [the International Standard for Results Management Code Articles 7.4 to 7.6 \(as applicable\)](#) and shall bring the proceedings against the *Athlete* or other *Person* in question in accordance with *Code* Article 8.

12.4.3 Where the *Anti-Doping Organization* concludes, based on the results of its investigation, that proceedings should not be brought against the *Athlete* or other *Person* asserting commission of an anti-doping rule violation:

- a) It shall notify *WADA* and the *Athlete's* or other *Person's* International Federation and *National Anti-Doping Organization* in writing of that decision, with reasons, in accordance with *Code* Article 14.1.4.
- b) It shall provide such other information about the investigation as is reasonably required by *WADA* and/or the International Federation and/or *National Anti-Doping Organization* in order to determine whether to appeal against that decision.
- c) In any event, it shall consider whether any of the intelligence obtained and/or lessons learned during the investigation should be used to inform the development of its Test Distribution Plan and/or to plan *Target Testing*, and/or should be shared with any other body in accordance with Article 11.4.2.

## PART FOUR: ANNEXES

### Annex A - Investigating a Possible Failure to Comply

#### A.1 Objective

To ensure that any matters occurring before, during or after a Sample Collection Session that may lead to a determination of a Failure to Comply are properly assessed, documented and acted upon.

#### A.2 Scope

Investigating a possible Failure to Comply begins when the Testing Authority or a DCO becomes aware of a possible Failure to Comply and ends when the Testing Authority or Results Management Authority takes appropriate follow-up action based on the outcome of its investigation.

#### A.3 Responsibility

A.3.1 The Testing Authority or Results Management Authority (as applicable) is responsible for ensuring that:

- a) when the possible Failure to Comply comes to its attention, it notifies *WADA*, and instigates an investigation of the possible Failure to Comply based on all relevant information and documentation;
- b) the *Athlete* or any other party is informed of the possible Failure to Comply in writing and has the opportunity to respond;
- c) the investigation is conducted without unnecessary delay and the evaluation process is documented in accordance with the International Standard for Results Management; and
- d) the final determination (i.e., whether or not to assert the commission of an anti-doping rule violation), with reasons, is made available without delay to *WADA* and other *Anti-Doping Organizations* in accordance with *Code* Articles 7.6~~10~~ and 14.1.4.

A.3.2 The DCO is responsible for:

- a) informing the *Athlete* ~~and any~~ other party (as applicable) of the Consequences possible sanctions applicable to ~~of~~ a possible Failure to Comply;

[Comment to A.3.2 a) and A3.3 a): The DCO/Sample Collection Personnel are expected to outline as a minimum that the Athlete may be charged with an anti-

[doping rule violation which could result in up to a four year ban](#)].

- b) completing the *Athlete's Sample Collection Session* where possible; and
- c) providing a detailed written report of any possible Failure to Comply.

A.3.3 Sample Collection Personnel are responsible for:

- a) informing the *Athlete* ~~or~~ and other party (as applicable) of the possible sanctions applicable to Consequences of a possible Failure to Comply; and/or
- b) reporting to the DCO any possible Failure to Comply.

[\[Comment to A.3.2 and A.3.3: The Testing Authority or the Sample Collection Authority \(as applicable\) is responsible for ensuring DCOs and Sample Collection Personnel are aware of their responsibilities for reporting a possible Failure to Comply\]](#).

#### **A.4 Requirements**

A.4.1 Any potential Failure to Comply shall be reported by the DCO and/or followed up by the Testing Authority as soon as practicable.

A.4.2 If the Testing Authority or Results Management Authority (as applicable) determines that there has been a potential Failure to Comply, the *Athlete* or other party shall be promptly notified in writing:

- a) of the possible *Consequences*; and
- b) that the potential Failure to Comply will be investigated by the Testing Authority or Results Management Authority (as applicable) and appropriate follow-up action will be taken.

A.4.3 Any additional necessary information about the potential Failure to Comply shall be obtained from all relevant sources (including the *Athlete* or other party) as soon as possible and recorded.

A.4.4 The Testing Authority or Results Management Authority (as applicable) shall establish a system for ensuring that the outcomes of its investigation into the potential Failure to Comply are considered for results management action and, if applicable, for further planning and *Target Testing*.

## Annex B - Modifications for *Athletes* with Impairments

### B.1 Objective

To ensure that the particular needs of *Athletes* with impairments are considered in relation to the provision of a *Sample*, where possible, without compromising the integrity of the Sample Collection Session.

### B.2 Scope

Determining whether modifications are necessary starts with identification of situations where *Sample* collection involves *Athletes* with impairments and ends with modifications to *Sample* collection procedures and equipment where necessary and where possible.

### B.3 Responsibility

B.3.1 The Testing Authority or Sample Collection Authority (as applicable) has responsibility for ensuring, when possible, that the DCO has any information and Sample Collection Equipment necessary to conduct a Sample Collection Session with an *Athlete* with an impairment including details of such impairment that may affect the procedure to be followed in conducting a Sample Collection Session.

B.3.2 The DCO has responsibility for *Sample* collection.

### B.4 Requirements

B.4.1 All aspects of notification and *Sample* collection for *Athletes* with impairments shall be carried out in accordance with the standard notification and *Sample* collection procedures unless modifications are necessary due to the *Athlete's* impairment.

*[Comment to B.4.1: ~~For example, it may be appropriate, The Testing Authority in the case of an Athlete with an intellectual impairment, shall decide whether to obtain consent to Testing from his/her/their representative and inform the Sample Collection Authority and Sample Collection Personnel.]~~*

B.4.2 In planning or arranging *Sample* collection, the Sample Collection Authority and DCO shall consider whether there will be any *Sample* collection for *Athletes* with impairments that may require modifications to the standard procedures for notification or *Sample* collection, including Sample Collection Equipment and Doping Control Station facilities.

B.4.3 The Sample Collection Authority and DCO shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security

or integrity of the *Sample*. All such modifications ~~must~~shall be documented.

- B.4.4 An *Athlete* with an intellectual, physical or sensorial impairment may be assisted by the *Athlete's* representative or *Sample Collection Personnel* during the *Sample Collection Session* where authorized by the *Athlete* and agreed to by the DCO.
- B.4.5 The DCO may decide that alternative *Sample Collection Equipment* or an alternative *Doping Control Station* facilities will be used when required to enable the *Athlete* to provide the *Sample*, as long as the *Sample's* identity, security and integrity will not be affected.
- B.4.6 *Athletes* who are using urine collection or drainage systems are required to eliminate existing urine from such systems before providing a urine *Sample* for analysis. Where possible, the existing urine collection or drainage system should be replaced with a new, unused catheter or drainage system prior to collection of the *Sample*. The catheter or drainage system is not a required part of *Sample Collection Equipment* to be provided by the *Sample Collection Authority*; instead it is the responsibility of the *Athlete* to have the necessary equipment available for this purpose.
- B.4.7 The DCO will record modifications made to the standard *Sample* collection procedures for *Athletes* with impairments, including any applicable modifications specified in the above actions.

## Annex C - Modifications for *Athletes* who are Minors

### C.1 Objective

To ensure that the particular needs of *Athletes* who are Minors are met in relation to the provision of a *Sample*, where possible, without compromising the integrity of the Sample Collection Session.

### C.2 Scope

Determining whether modifications are necessary starts with identification of situations where *Sample* collection involves *Athletes* who are Minors and ends with modifications to *Sample* collection procedures where necessary and where possible.

### C.3 Responsibility

The Testing Authority has responsibility for ensuring, when possible, that the DCO has any information necessary to conduct a Sample Collection Session with an *Athlete* who is a Minor. This includes confirming wherever necessary that the ~~organiser of the Event obtains the~~ necessary parental consent for *Testing* any participating *Athlete* who is a Minor.

### C.4 Requirements

- C.4.1 All aspects of notification and *Sample* collection for *Athletes* who are Minors shall be carried out in accordance with the standard notification and *Sample* collection procedures unless modifications are necessary due to the *Athlete* being a Minor.
- C.4.2 In planning or arranging *Sample* collection, the Sample Collection Authority and DCO shall consider whether there will be any *Sample* collection for *Athletes* who are Minors that may require modifications to the standard procedures for notification or *Sample* collection.
- C.4.3 The DCO and the Sample Collection Authority shall have the authority to make modifications as the situation requires when possible and as long as such modifications will not compromise the identity, security or integrity of the *Sample*. All such modifications shall be documented.
- C.4.4 *Athletes* who are Minors should be notified in the presence of an adult representative in addition to the DCO/Chaperone, and may choose to be accompanied by a representative throughout the entire Sample Collection Session. ~~The representative shall not witness the passing of a urine Sample unless requested to do so by the Minor. The objective is to ensure that the DCO is observing the Sample provision correctly.~~ Even if the Minor declines a representative, the Sample



Collection Authority, DCO or Chaperone, as applicable, shall consider whether another third party ought to be present during notification of ~~and/or collection of the Sample from~~ the *Athlete*.

- C.4.5 The DCO shall determine who (in addition to the Sample Collection Personnel) may be present during the collection of a *Sample* from an *Athlete* who is a Minor, namely a representative of the Minor to observe the Sample Collection Session (including observing the DCO when the Minor is passing the urine *Sample*, but not directly observing the passing of the urine *Sample* unless requested to do so by the Minor) and the DCO's/Chaperone's representative, to observe the DCO/Chaperone when a Minor is passing a urine *Sample*, but without the DCO's/Chaperone's representative directly observing the passing of the *Sample* ~~unless requested by the Minor to do so~~.
- C.4.6 Should an *Athlete* who is a Minor decline to have a representative present during the Sample Collection Session, this ~~should~~ shall be clearly documented by the DCO. This does not invalidate the test, but ~~must~~ shall be recorded. If a Minor declines the presence of a representative, the representative of the DCO/Chaperone ~~must~~ shall be present in accordance with C.4.5.
- C.4.7 The preferred venue for all *Out-of-Competition Testing* of a Minor is a location where the presence of an Athlete representative (who is not a Minor) an adult is most likely to be available for the duration of the Sample Collection Session, e.g., a training venue.
- C.4.8 The Testing Authority or Sample Collection Authority (as applicable) shall consider the appropriate course of action when no ~~adult Athlete representative (who is not a Minor)~~ is present at the *Testing* of an *Athlete* who is a Minor ~~(-for example by ensuring that more than one Sample Collection Personnel is present during a Sample Collection Session of an such Minor Athlete)~~ and shall accommodate the *Athlete-Minor* in locating a representative ~~in order to proceed with Testing if requested to do so by the Minor~~.

## Annex D - Collection of Urine *Samples*

### D.1 Objective

To collect an *Athlete's* urine *Sample* in a manner that ensures:

- a) consistency with relevant principles of internationally recognised standard precautions in healthcare settings so that the health and safety of the *Athlete* and Sample Collection Personnel are not compromised;
- b) the *Sample* meets the Suitable Specific Gravity for Analysis and the Suitable Volume of Urine for Analysis. Failure of a *Sample* to meet these requirements in no way invalidates the suitability of the *Sample* for analysis. The determination of a *Sample's* suitability for analysis is the decision of the relevant laboratory, in consultation with the Testing Authority for the Sample Collection Session in question;
- c) the *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
- d) the *Sample* is clearly and accurately identified; and
- e) the *Sample* is securely sealed in a Tamper-Evident kit.

### D.2 Scope

The collection of a urine *Sample* begins with ensuring the *Athlete* is informed of the *Sample* collection requirements and ends with discarding any residual urine remaining at the end of the *Athlete's* Sample Collection Session.

### D.3 Responsibility

- D.3.1 The DCO has the responsibility for ensuring that each *Sample* is properly collected, identified and sealed.
- D.3.2 The DCO/Chaperone has the responsibility for directly witnessing the passing of the urine *Sample*.

### D.4 Requirements

- D.4.1 The DCO shall ensure that the *Athlete* is informed of the requirements of the Sample Collection Session, including any modifications as provided for in Annex B – Modifications for *Athletes* with Impairments.

- D.4.2 The DCO shall ensure that the *Athlete* is offered a choice of Sample Collection Equipment~~appropriate equipment~~ for collecting the *Sample*. If the nature of an *Athlete's* impairment requires that ~~he/she~~they must use additional or other equipment as provided for in Annex B – Modifications for *Athletes* with Impairments, the DCO shall inspect that equipment to ensure that it will not affect the identity or integrity of the *Sample*.
- D.4.3 The DCO shall instruct the *Athlete* to select a collection vessel.
- D.4.4 When the *Athlete* selects a collection vessel, and for selection of all other Sample Collection Equipment that directly holds the urine *Sample*, the DCO will instruct the *Athlete* to check that all seals on the selected equipment are intact and the equipment has not been tampered with. If the *Athlete* is not satisfied with the selected equipment, ~~he/she~~they may select another. If the *Athlete* is not satisfied with any of the equipment available for selection, this shall be recorded by the DCO. If the DCO does not agree with the *Athlete* that all of the equipment available for the selection is unsatisfactory, the DCO shall instruct the *Athlete* to proceed with the Sample Collection Session. If the DCO agrees with the *Athlete* that all of the equipment available for the selection is unsatisfactory, the DCO shall terminate the Sample Collection Session and this shall be recorded by the DCO.
- D.4.5 The *Athlete* shall retain control of the collection vessel and any *Sample* provided until the *Sample* (or partial *Sample*) is sealed, unless assistance is required by reason of an *Athlete's* impairment as provided for in Annex B – Modifications for *Athletes* with Impairments. Additional assistance may be provided in exceptional circumstances to any *Athlete* by the *Athlete's* representative or Sample Collection Personnel during the Sample Collection Session where authorised by the *Athlete* and agreed to by the DCO.
- D.4.6 The DCO/Chaperone who witnesses the passing of the *Sample* shall be of the same gender as the *Athlete* providing the *Sample*.
- D.4.7 The DCO/Chaperone should, where practicable, ensure the *Athlete* thoroughly washes ~~his/her~~their hands with water only prior to the provision of the *Sample* or wears suitable (e.g., ~~latex~~disposable) gloves during provision of the *Sample*.
- D.4.8 The DCO/Chaperone and *Athlete* shall proceed to an area of privacy to collect a *Sample*.
- D.4.9 The DCO/Chaperone shall ensure an unobstructed view of the ~~Sample~~ leaving the *Athlete's* body and must continue to observe the *Sample*

after provision until the *Sample* is securely sealed. In order to ensure a clear and unobstructed view of the passing of the *Sample*, the DCO/Chaperone shall instruct the *Athlete* to remove or adjust any clothing which restricts the DCO's/Chaperone's clear view of *Sample* provision. The DCO/Chaperone shall ensure that all urine passed by the *Athlete* at the time of provision of the *Sample* is collected in the collection vessel.

- D.4.10 The DCO shall verify, in full view of the *Athlete*, that the Suitable Volume of Urine for Analysis has been provided.
- D.4.11 Where the volume of urine provided by the *Athlete* is insufficient, the DCO shall follow the partial *Sample* collection procedure set out in Annex F – Urine *Samples* – Insufficient Volume.
- D.4.12 Once the volume of urine provided by the *Athlete* is sufficient, the DCO shall instruct the *Athlete* to select a *Sample* collection kit containing A and B bottles or containers in accordance with Article D.4.4.
- D.4.13 Once a *Sample* collection kit has been selected, the DCO and the *Athlete* shall check that all code numbers match and that this code number is recorded accurately by the DCO on the *Doping Control* form. If the *Athlete* or DCO finds that the numbers are not the same, the DCO shall instruct the *Athlete* to choose another kit in accordance with Article D.4.4. The DCO shall record the matter.
- D.4.14 The *Athlete* shall pour the minimum Suitable Volume of Urine for Analysis into the B bottle or container (to a minimum of 30 mL), and then pour the remainder of the urine into the A bottle (to a minimum of 60 mL). The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum. If more than the minimum Suitable Volume of Urine for Analysis has been provided, the DCO shall ensure that the *Athlete* fills the A bottle or container to capacity as per the recommendation of the equipment manufacturer. Should there still be urine remaining, the DCO shall ensure that the *Athlete* fills the -B bottle or container to capacity as per the recommendation of the equipment manufacturer. The DCO shall instruct the *Athlete* to ensure that a small amount of urine is left in the collection vessel, explaining that this is to enable the DCO to test that residual urine in accordance with Article D.4.16.
- D.4.15 The *Athlete* shall then seal the A and B bottles or containers as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the bottles or containers have been properly sealed.
- D.4.16 The DCO shall test the residual urine in the collection vessel to

determine if the *Sample* has a Suitable Specific Gravity for Analysis. If the DCO's field reading indicates that the *Sample* does not have a Suitable Specific Gravity for Analysis, then the DCO shall follow Annex G (Urine *Samples* that do not meet the requirement for Suitable Specific Gravity for Analysis).

- D.4.17 Urine should only be discarded when both the A and B bottles or containers have been ~~filled to capacity in accordance with Article D.4.14~~sealed and the residual- urine has been tested in accordance with Article D.4.16.
- D.4.18 The *Athlete* shall be given the option of witnessing the discarding of any residual urine that will not be sent for analysis.

## **Annex E - Collection of Blood *Samples***

### **E.1 Objective**

To collect an *Athlete's* blood *Sample* in a manner that ensures:

- a) consistency with relevant principles of internationally recognised standard precautions in healthcare settings, and is collected by a suitably qualified person, so that the health and safety of the *Athlete* and *Sample* Collection Personnel are not compromised;
- b) the *Sample* is of a quality and quantity that meets the relevant analytical guidelines;
- c) the *Sample* has not been manipulated, substituted, contaminated or otherwise tampered with in any way;
- d) the *Sample* is clearly and accurately identified; and
- e) the *Sample* is securely sealed.

### **E.2 Scope**

The collection of a blood *Sample* begins with ensuring the *Athlete* is informed of the *Sample* collection requirements and ends with properly storing the *Sample* prior to transport to the laboratory that will be analysing the *Sample*.

### **E.3 Responsibility**

E.3.1 The DCO has the responsibility for ensuring that:

- a) Each *Sample* is properly collected, identified and sealed; and
- b) All *Samples* have been properly stored and dispatched in accordance with the relevant analytical guidelines.

E.3.2 The Blood Collection Officer has the responsibility for collecting the blood *Sample*, answering related questions during the provision of the *Sample*, and proper disposal of used blood sampling equipment not required to complete the *Sample* Collection Session.

### **E.4 Requirements**

E.4.1 Procedures involving blood shall be consistent with the local standards and regulatory requirements regarding precautions in healthcare settings where those standards and requirements exceed the requirements set out below.

E.4.2 Blood Sample Collection Equipment shall consist of

- (a) ~~an A and B single-sample tube for Samples of which the A and B Sample tube may~~ to be used in connection with an *Athlete Biological Passport* program; or
- (b) ~~a single sample tube for Samples to be used for the both an A and B Sample tube for Samples not to be used in connection with an Athlete Biological Passport program; or~~
- (c) other equipment required to collect the blood Sample as set out in WADA's Blood Collection Guidelines; and
- (d) ~~as otherwise specified by the relevant laboratory. the types of equipment to be used and the volume of blood to be collected for particular analysis as set out in Article 6.3.4.~~ Collection tubes shall be labelled with a unique *Sample* code number by the DCO/BCO if they are not pre-labelled. The types of equipment to be used and the volume of blood to be collected for particular analyses shall be as set out in *WADA's Blood Collection Guidelines* and Article 6.3.4.

E.4.3 The DCO shall ensure that the *Athlete* is properly notified of the requirements of the *Sample* collection, including any modifications as provided for in Annex B – Modifications for *Athletes* with Impairments.

E.4.4 The DCO/Chaperone and *Athlete* shall proceed to the area where the *Sample* will be provided.

E.4.5 The DCO/BCO shall ensure the *Athlete* is offered comfortable conditions and shall instruct the *Athlete* to remain in a normal seated position with feet on the floor for at least 10 minutes prior to providing a *Sample*.

E.4.6 The DCO shall instruct the *Athlete* to select the *Sample* collection kit(s) required for collecting the *Sample* and to check that the selected equipment has not been tampered with and the seals are intact. If the ~~-Athlete~~ is not satisfied with a selected kit, ~~he/shethey~~ may select another. If the *Athlete* is not satisfied with any kits and no others are available, this shall be recorded by the DCO. If the DCO does not agree with the *Athlete* that all of the available kits are unsatisfactory, the DCO shall instruct the *Athlete* to proceed with the Sample Collection Session. If the DCO agrees with the *Athlete* that all available kits are unsatisfactory, the DCO shall terminate the Sample Collection Session and this shall be recorded by the DCO.

E.4.7 When a *Sample* collection kit has been selected, the DCO and the *Athlete* shall check that all Sample code numbers match and that this Sample code number is recorded accurately by the DCO on the *Doping Control* form. If the *Athlete* or DCO finds that the numbers are

not the same, the DCO shall instruct the *Athlete* to choose another kit. The DCO shall record the matter.

- E.4.8 The BCO shall clean the skin with a sterile disinfectant wipe or swab in a location unlikely to adversely affect the *Athlete* or his/her/their performance and, if required, apply a tourniquet. The BCO shall take the blood *Sample* from a superficial vein into the tube. The tourniquet, if applied, shall be immediately removed after the venipuncture has been made.
- E.4.9 The amount of blood removed shall be adequate to satisfy the relevant analytical requirements for the *Sample* analysis to be performed, as set out in *WADA's Blood Collection Guidelines*.
- E.4.10 If the amount of blood that can be removed from the *Athlete* at the first attempt is insufficient, the BCO shall repeat the procedure up to a maximum of three attempts in total. Should all three attempts fail to produce a sufficient amount of blood, then the BCO shall inform the DCO. The DCO shall terminate the Sample Collection Session and record this and the reasons for terminating the collection.
- E.4.11 The BCO shall apply a dressing to the puncture site(s).
- E.4.12 The BCO shall dispose of used blood sampling equipment not required to complete the Sample Collection Session in accordance with the required local standards for handling blood.
- E.4.13 If the *Sample* requires further on-site processing, such as centrifugation or separation of serum (for example, in the case of a *Sample* intended for use in connection with the *Athlete Biological Passport* program, after the blood flow into the tube ceases, the BCO shall remove the tube from the holder and homogenize the blood in the tube manually by inverting the tube gently at least three times), the *Athlete* shall remain to observe the *Sample* until final sealing in secure, ~~T~~Tamper-evident kit.
- E.4.14 The *Athlete* shall seal his/her/their *Sample* into the *Sample* collection kit as directed by the DCO. In full view of the *Athlete*, the DCO shall check that the sealing is satisfactory. The *Athlete* and the BCO/DCO shall sign the *Doping Control* form.
- E4.156 The sealed *Sample* shall be stored in a manner that protects its integrity, identity and security prior to transport from the Doping Control Station to the ~~L~~Laboratory that will be analysing the *Sample*.
- E.4.167 Blood *Samples* shall be transported in accordance with ~~Section Article~~ Section Article 9.0. The transport procedure is the responsibility of the DCO. Blood



*Samples* shall be transported in a device that maintains the integrity of *Samples* over time notwithstanding changes in external temperature. The transport device shall be transported by secure means using a method authorized by the Testing Authority or Sample Collection Authority.

*[Comment to E.4: The requirements of this Annex apply to Blood Samples collected for the purposes of direct analysis as well as for ~~the ABP~~ purposes of ~~the ABP~~. Additional requirements applicable only to the ABP are contained in Annex K.]*

## Annex F - Urine *Samples* - Insufficient Volume

### F.1 Objective

To ensure that where a Suitable Volume of Urine for Analysis is not provided, appropriate procedures are followed.

### F.2 Scope

The procedure begins with informing the *Athlete* that the *Sample* that ~~he/she/they have has~~ provided is not of Suitable Volume of Urine for Analysis and ends with the *Athlete's* provision of a *Sample* of sufficient volume.

### F.3 Responsibility

The DCO has the responsibility for declaring the *Sample* volume insufficient and for collecting the additional *Sample(s)* to obtain a combined *Sample* of sufficient volume.

### F.4 Requirements

F.4.1 If the *Sample* collected is of insufficient volume, the DCO shall inform the *Athlete* that a further *Sample* shall be collected to meet the Suitable Volume of Urine for Analysis requirements.

F.4.2 The DCO shall instruct the *Athlete* to select partial Sample Collection Equipment in accordance with Article D.4.4.

F.4.3 The DCO shall then instruct the *Athlete* to open the relevant equipment, pour the insufficient *Sample* into the new container (unless the Sample Collection Authority's procedures permit retention of the insufficient *Sample* in the original collection vessel) and seal it as directed by the DCO. The DCO shall check, in full view of the *Athlete*, that the container (or -original collection vessel, if applicable) has been properly sealed.

F.4.4 The DCO and the *Athlete* shall check that the equipment Sample code number and the volume and identity of the insufficient *Sample* are recorded accurately by the DCO on the *Doping Control* form. ~~Either the *Athlete* or~~ the DCO shall should retain control of the sealed partial *Sample*.

F.4.5 While waiting to provide an additional *Sample*, the *Athlete* shall remain under continuous observation and be given the opportunity to hydrate in accordance with Article 7.3.3.

- F.4.6 When the *Athlete* is able to provide an additional *Sample*, the procedures for collection of the *Sample* shall be repeated as prescribed in Annex D – Collection of Urine *Samples*, until a sufficient volume of urine will be provided by combining the initial and additional *Sample(s)*.
- F.4.7 ~~When the DCO is satisfied that the requirements for Suitable Volume of Urine for Analysis have been met,~~ Following each *Sample* provided, the DCO and *Athlete* shall check the integrity of the seal(s) on the container(s) containing the previously provided partial *Sample(s)*. Any irregularity with the integrity of the seal(s) will be recorded by the DCO and investigated according to Annex A – Investigating a Possible Failure to Comply. The DCO may request that an additional *Sample* is collected from the *Athlete*. A refusal to provide a further *Sample* if requested, where the minimum requirements for *Sample* collection volume are not met shall be dealt with as a potential Failure to Comply.
- F.4.8 The DCO shall then direct the *Athlete* to break the seal(s) and combine the *Samples*, ensuring that additional *Samples* are added in the order they were collected to the original partial *Sample* until, as a minimum, the requirement for Suitable Volume of Urine for Analysis is met.
- F.4.9 The DCO and the *Athlete* shall then continue with Article D.4.12 or Article D.4.14 as appropriate.
- F.4.10 The DCO shall check the residual urine in accordance with Article D.4.16 to ensure that it meets the requirement for Suitable Specific Gravity for Analysis.
- F.4.11 F.4.11 Urine should only be discarded when both the A and B bottles or containers have been filled to capacity in accordance with Article D.4.14 and the residual -urine has been checked in accordance with Article F.4.10. The Suitable Volume of Urine for Analysis shall be viewed as an absolute minimum.

## **Annex G - Urine *Samples* that do not meet the requirement for Suitable Specific Gravity for Analysis**

### **G.1 Objective**

To ensure that when the urine *Sample* does not meet the requirement for Suitable Specific Gravity for Analysis, appropriate procedures are followed.

### **G.2 Scope**

The procedure begins with the DCO informing the *Athlete* that a further *Sample* is required and ends with the collection of a *Sample* that meets the requirements for Suitable Specific Gravity for Analysis, or appropriate follow-up action by the Testing Authority if required.

### **G.3 Responsibility**

The Sample Collection Authority is responsible for establishing procedures to ensure that a suitable *Sample* is collected. If the original *Sample* collected does not meet the requirement for Suitable Specific Gravity for Analysis, the DCO is responsible for collecting additional *Samples* until a suitable *Sample* is obtained.

### **G.4 Requirements**

G.4.1 The DCO shall determine that the requirements for Suitable Specific Gravity for Analysis have not been met.

G.4.2 The DCO shall inform the *Athlete* that ~~he/she is~~they are required to provide a further *Sample*.

G.4.3 While waiting to provide a further *Sample*, the *Athlete* shall remain under continuous observation.

G.4.4 The *Athlete* shall be advised not to hydrate ~~excessively~~, since this may delay the production of a suitable *Sample*. In appropriate circumstances, excessive hydration may be pursued as a violation of Code Article 2.5 (*Tampering or Attempted Tampering* with any part of *Doping Control*).

G.4.5 When the *Athlete* is able to provide an additional *Sample*, the DCO shall repeat the procedures for *Sample* collection set out in Annex D – Collection of Urine *Samples*.

G.4.6 The DCO ~~should~~shall continue to collect additional *Samples* until the requirement for Suitable Specific Gravity for Analysis is met, or until the DCO determines that there are exceptional circumstances which mean that for logistical reasons it is impossible to continue with

the Sample Collection Session. Such exceptional circumstances shall be documented accordingly by the DCO.

[Comment to G.4.6: It is the responsibility of the Athlete to provide a Sample with a Suitable Specific Gravity for Analysis. Sample Collection Personnel shall advise the Athlete and Athlete Support Personnel as appropriate of this requirement at the time of Notification in order to discourage excessive hydration prior to the provision of the Athlete's first sample. If his/her/their first Sample is too dilute, he/she/they shall be advised to not hydrate any further until a Sample with a Suitable Specific Gravity for Analysis is provided. The DCO should wait as long as necessary to collect such a Sample. The Testing Authority may specify procedures to be followed by the DCO in determining whether exceptional circumstances exist that make it impossible to continue with the Sample Collection Session.]

G.4.7 The DCO shall record that the *Samples* collected belong to a single *Athlete* and the order in which the *Samples* were provided.

G.4.8 The DCO shall then continue with the Sample Collection Session in accordance with Article D.4.17.

G.4.9 If it is determined that none of the *Samples* collected from the *Athlete* meets the requirement for Suitable Specific Gravity for Analysis and the DCO determines that for logistical reasons it is impossible to continue with the Sample Collection Session, the DCO may end the Sample Collection Session.

G.4.10 The DCO shall send to the *Laboratory* for analysis all *Samples* which were collected, irrespective of whether or not they meet the requirement for Suitable Specific Gravity for Analysis.

G.4.11 When two *Samples* are collected from an *Athlete*, during the same Sample Collection Session, both *Samples* shall be analyzed by the *Laboratory*. In cases where three or more *Samples* are collected during the same Sample Collection Session, the *Laboratory* shall prioritize and analyze the first and last *Samples* collected. The *Laboratory*, in conjunction with the Testing Authority, may determine if the other *Samples* need to be analysed.

## Annex H - *Sample* Collection Personnel Requirements

### H.1 Objective

To ensure that Sample Collection Personnel have no conflict of interest and have adequate qualifications and experience to conduct Sample Collection Sessions.

### H.2 Scope

Sample Collection Personnel requirements start with the development of the necessary competencies for Sample Collection Personnel and end with the provision of identifiable accreditation.

### H.3 Responsibility

The Sample Collection Authority has the responsibility for all activities defined in this Annex H.

### H.4 Requirements - Qualifications and Training

H.4.1 The Sample Collection Authority shall:

- a) determine the necessary competence, [eligibility](#) and qualification requirements for the positions of DCO, Chaperone and BCO; and
- b) develop duty statements for all Sample Collection Personnel that outline their respective responsibilities. As a minimum:
  - i) Sample Collection Personnel shall not be Minors; and
  - ii) BCOs shall have adequate qualifications and practical skills required to perform blood collection from a vein.

H.4.2 The Sample Collection Authority shall ensure that Sample Collection Personnel [sign an agreement dealing with conflicts of interest, confidentiality and code of conduct](#).

[H.4.2.1 Sample Collection Personnel shall not be appointed to a Sample Collection Session where they that have an interest in the outcome of a Sample -Collection Session, -are not appointed to that Sample Collection Session. At a minimum, Sample Collection Personnel are deemed to have such an interest if they are:](#)

- a) Involved in the administration of the sport for which *Testing* is being conducted; ~~or~~
- b) Related to, or involved in the personal affairs of, any *Athlete* who might provide a *Sample* at that session; ~~or~~

- c) Have family members actively involved in the daily activities of the sport for which *Testing* is being conducted:
- d) Are engaged in business with, have a financial interest in or personal stake in a sport that has *Athletes* who are subject to *Testing*:
- e) Drawing or likely to draw personal and/or professional gain or advantage directly or indirectly from a third party due to their own decisions taken in the fulfillment of their official functions; and/or
- f) Appear to have private or personal interests that detract from their ability to perform their duties with integrity in an independent and purposeful manner.

H.4.3 The Sample Collection Authority shall establish a system that ensures that Sample Collection Personnel are adequately trained to carry out their duties.

H.4.3.1 The training program for BCOs shall include, as a minimum, studies of all relevant requirements of the *Testing* process and familiarization with relevant standard precautions in healthcare settings.

H.4.3.2 The training program for DCOs shall include, as a minimum:

- a) Comprehensive theoretical training in different types of *Testing* activities relevant to the DCO position;
- b) Observation of all *Doping Control* activities that are the responsibility of the DCO as set out in this *International Standard for Testing and Investigations*, preferably on-site; and
- c) The satisfactory performance of one complete Sample Collection Session on site under observation by a qualified DCO or similar. The requirement related to the actual passing of a urine *Sample* shall not be included in the on-site observations.

H.4.3.3 The training program for Chaperones shall include ~~studies of~~ all relevant requirements of the *Sample* collection process.

H.4.3.4 A Sample Collection Authority that collects *Samples* from *Athletes* who are of a different nationality to its Sample Collection Personnel (e.g., at an *International Event* or in an *Out-of-Competition* context) should ~~establish additional systems to~~ ensure that such Sample Collection Personnel are adequately trained to carry out their duties in respect of such *Athletes*.

H.4.4 The Sample Collection Authority shall maintain records of education, training, skills and experience of all Sample Collection Personnel.

## **H.5 Requirements - Accreditation, re-accreditation and delegation**

H.5.1 The Sample Collection Authority shall establish a system for accrediting and re-accrediting Sample Collection Personnel.

H.5.2 The Sample Collection Authority shall ensure that Sample Collection Personnel have completed the training program and are familiar with the requirements of this *International Standard for Testing and Investigations* (including, where Article H.4.3.4 applies, in relation to the collection of *Samples* from *Athletes* who are of a different nationality to the Sample Collection Personnel) before granting accreditation.

H.5.3 Accreditation shall only be valid for a maximum of two years. Sample Collection Personnel shall be [subject to an assessment \(theoretical and/or practical\) before being re-accredited and shall be](#) required to repeat a full training program if they have not participated in *Sample* collection activities within the year prior to re-accreditation.

H.5.4 ~~Only Sample Collection Personnel who have an accreditation recognised by the Sample Collection Authority shall be authorised by the Sample Collection Authority to conduct *Sample* collection activities on behalf of the~~ The *Sample Collection Authority* shall develop a system to monitor the performance of *Sample Collection Personnel* during the period of accreditation, including defining and implementing criteria for revoking accreditation.

H.5.5 DCOs may personally perform any activities involved in the Sample Collection Session, with the exception of blood collection unless particularly qualified, or they may direct a Chaperone to perform specified activities that fall within the scope of the Chaperone's authorised duties [as determined by the \*Sample Collection Authority\*](#).



## Annex I – Code Article 2.4 Whereabouts Requirements

### I.1 Introduction

I.1.1 An *Athlete* who is in a *Registered Testing Pool* ~~shall~~is required:

- a) ~~to~~ make quarterly Whereabouts Filings that provide accurate and complete information about the *Athlete's* whereabouts during the forthcoming quarter, including identifying where ~~he/she/they~~ will be living, training and competing during that quarter, and to update those Whereabouts Filings where necessary, so that ~~he/she/they~~ can be located for *Testing* during that quarter at the times and locations specified in the relevant Whereabouts Filing, as specified in Article I.3. A failure to do so may be declared a Filing Failure; and
- b) ~~to~~ specify in his/her/their Whereabouts Filings, for each day in the forthcoming quarter, one specific 60-minute time slot where ~~he/she/they~~ will be available at a specific location for *Testing*, as specified in Article I.4. This does not limit in any way the *Athlete's* Code Article 5.2 obligation to submit to *Testing* at any time and place upon request by an *Anti-Doping Organization* with Testing Authority over him/her/them. Nor does it limit his/her/their obligation to provide the information specified in Article I.3 as to his/her/their whereabouts outside that 60-minute time slot. However, if the *Athlete* is not available for *Testing* at such location during the 60-minute time slot specified for that day in his/her/their Whereabouts Filing, that failure may be declared a Missed Test.

*[Comment to I.1.1(b): The purpose of the 60-minute time slot is to strike a balance between the need to locate the Athlete for Testing and the impracticality and unfairness of making Athletes potentially accountable for a Missed Test every time they depart from their previously-declared routine.] ~~Anti-Doping Organizations that implemented whereabouts systems in the period up to 2009 reflected that tension in different ways. Some demanded "24/7" whereabouts information, but did not declare a Missed Test if an Athlete was not where he/she had said he/she would be unless (a) he/she could still not report for Testing despite being given notice in the form of a phone call; or (b) the following day he/she was still not where he/she had said he/she would be. Others asked for details of the Athlete's whereabouts for only one hour per day, but held the Athlete fully accountable during that period, which gave each side certainty but limited the Anti-Doping Organization's ability to test the Athlete outside that hour. After extensive consultation with stakeholders with substantial whereabouts experience, the view was taken that the best way to maximize the chances of finding the Athlete at any time, while providing a reasonable and appropriate mitigation of "24/7" Missed Test liability, was to combine the best elements of each system, i.e., requiring disclosure of whereabouts information~~*

~~on a "24/7" basis, while limiting exposure to a Missed Test to a 60-minute time slot.]~~

I.1.2 Three Whereabouts Failures by an *Athlete* within any 12-month period amount to an anti-doping rule violation under *Code* Article 2.4. The Whereabouts Failures may be any combination of Filing Failures and/or Missed Tests declared in accordance with Article I.5 and adding up to three in total.

*[Comment to I.1.2: While a single Whereabouts Failure will not amount to an anti-doping rule violation under *Code* Article 2.4, depending on the facts it could amount to an anti-doping rule violation under *Code* Article 2.3 (Evading Sample Collection) and/or *Code* Article 2.5 (Tampering or Attempted Tampering with Doping Control).]*

I.1.3 The 12-month period referred to in *Code* Article 2.4 starts to run on the date that an *Athlete* commits the first Whereabouts Failure being relied upon in support of the allegation of a violation of *Code* Article 2.4. If two or more Whereabouts Failures occur during the ensuing 12-month period, then a *Code* Article 2.4 anti-doping rule violation is committed, irrespective of any *Samples* successfully collected from the *Athlete* during that 12-month period. However, if an *Athlete* who has committed one Whereabouts Failure does not go on to commit a further two Whereabouts Failures within 12 months of the first, at the end of that 12-month period the first Whereabouts Failure "expires" for purposes of *Code* Article 2.4, and a new 12-month period begins to run from the date of his/her/their next Whereabouts Failure.

~~I.1.4 *[Comment to]* For purposes of determining whether a Whereabouts Failure has occurred within the 12-month period referred to in *Code* Article 2.4, (a) a Filing Failure will be deemed to have occurred on the first day of the quarter for which the *Athlete* fails to make an accurate and (sufficient) filing or where the Athletes fails to provide an updated filing during the quarter, in which case it will be deemed to be effective from the date of discovery; and (b) a Missed Test will be deemed to have occurred on the date that the *Sample* collection was unsuccessfully attempted.]~~

~~I.1.4 — To facilitate planning and readiness for Testing on the first day of the quarter (as countenanced in Article I.3.2), Anti-Doping Organizations may require that whereabouts information is submitted on a date which is the 15<sup>th</sup> of the month preceding the quarter. However, no consequences for a failure to submit prior to the first day of the quarter shall apply other than as set out in Article I.1.3.~~

~~I.1.5 To give Athletes the full benefit of the changes to the 2015 Code (reducing the relevant period under Code Article 2.4 from 18 months~~

~~to 12 months), any Whereabouts Failure that occurred prior to 1 January 2015 will “expire” (for purposes of Code Article 2.4) 12 months after the date of its occurrence~~

## **I.2 Entering and leaving a Registered Testing Pool**

I.2.1 The International Federation or *National Anti-Doping Organization* (as applicable) ~~shall~~must notify each *Athlete* designated for inclusion in its *Registered Testing Pool* of the following:

- a) the fact that ~~he/shethey have~~has been included in its *Registered Testing Pool* with effect from a specified date in the future; and
- b) the whereabouts requirements with which ~~he/shethey shall~~must therefore comply; and
- c) the Consequences if ~~he/shethey fails~~ to comply with those whereabouts requirements; and
- ~~e)d)~~ that they may also be tested by other Anti-Doping Organizations with Testing jurisdiction over them.

*[Comment to I.2.1: This notification ~~may~~shall be made through the National Federation or National Olympic Committee where the International Federation/National Anti-Doping Organization considers it appropriate or expedient to do so and ordinarily shall be made reasonably in advance of the Athlete being included in the Registered Testing Pool. The notice ~~shall~~should also explain what the Athlete needs to do in order to comply with the Code Article 2.4 Whereabouts Requirements (or refer them to a website or other resource where they can find out that information). Athletes included in a Registered Testing Pool ~~shall~~should be informed and should be educated so that they understand the whereabouts requirements that they must satisfy, how the whereabouts system works, the Consequences of Filing Failures and Missed Tests, and their right to contest Filing Failures and Missed Tests that have been asserted against them.*

*Anti-Doping Organizations should also be proactive in helping Athletes avoid Filing Failures. For example, many Anti-Doping Organizations systematically remind Athletes in their Registered Testing Pool of quarterly deadlines for Whereabouts Filings, and then follow up with those Athletes who have still not made the necessary filing as the deadline approaches. However, Athletes remain fully responsible for complying with the filing requirements, irrespective of whether or not the Anti-Doping Organization has provided them with such support.]*

I.2.2 If the *Athlete* is included in the International Federation’s international *Registered Testing Pool* and in the *National Anti-Doping Organization’s*

national *Registered Testing Pool* (or in the *Registered Testing Pool* of more than one *National Anti-Doping Organization* or more than one *International Federation*), then each of them shall notify the *Athlete* that ~~he/she is~~ they are in its pool. Prior to doing so, however, they ~~shall~~ must agree between themselves which of them the *Athlete* ~~shall~~ should provide ~~his/her~~ their Whereabouts Filings to, and each notice sent to the *Athlete* ~~shall~~ should specify that ~~he/she~~ they ~~shall~~ should provide ~~his/her~~ their Whereabouts Filings to that *Anti-Doping Organization* only (and it will then share that information with the other, and with any other *Anti-Doping Organizations* having *Testing* jurisdiction over the *Athlete*). An *Athlete* ~~shall~~ must not be asked to provide Whereabouts Filings to more than one *Anti-Doping Organization*.

*[Comment to I.2.2: If the respective Anti-Doping Organizations cannot agree between themselves which of them will take responsibility for collecting— the Athlete’s whereabouts information, and for making it available to the other Anti-Doping Organizations with authority to test the Athlete, then they should each explain in writing to WADA how they believe the matter should be resolved, and WADA will decide based on the best interests of the Athlete. WADA’s decision will be final and may not be appealed.]*

- I.2.3 An *International Federation* or *National Anti-Doping Organization* that maintains a *Registered Testing Pool* shall ~~use ADAMS establish a workable system for the collection, maintenance and sharing of~~ Whereabouts Filings, preferably using an online system (capable of recording who enters information and when) or at least fax, email and/or SMS text messaging, to ensure that:
- a) the information provided by the *Athlete* is stored safely and securely ~~(in ADAMS or another system approved by WADA);~~
  - b) the information can be accessed by (i) authorized individuals acting on behalf of the *International Federation* or *National Anti-Doping Organization* (as applicable) on a need-to-know basis only; (ii) *WADA*; and (iii) other *Anti-Doping Organizations* with *Testing* jurisdiction over the *Athlete*; and
  - c) the information is maintained in strict confidence at all times, is used exclusively for the purposes set out in *Code* Article 5.6 and is destroyed in accordance with the *International Standard* for the Protection of Privacy and Personal Information once it is no longer relevant.
- I.2.4 An *Athlete* who has been included in a *Registered Testing Pool* shall continue to be subject to the Code Article 2.4 Whereabouts Requirements unless and until:

- a) he/she has they have been given written notice by each *Anti-Doping Organization* that put him in its *Registered Testing Pool* that he/she is they are no longer designated for inclusion in its *Registered Testing Pool*; or
- b) he/she they retires from *Competition* in the sport in question in accordance with the applicable rules and gives written notice to that effect to each *Anti-Doping Organization* that put him/her them in its *Registered Testing Pool*.

[Comment to I.2.4: The applicable rules may also require that notice of retirement be sent to the Athlete's National Federation. Where an Athlete retires from but then returns to sport, his/her their period of non-availability for Out-of-Competition Testing shall be disregarded for purposes of calculating the 12-month period referred to in Code Article 2.4. As a result, Whereabouts Failures committed by the Athlete prior to retirement may be combined, for purposes of Code Article 2.4, with Whereabouts Failures committed by the Athlete after he/she they again becomes available for Out-of-Competition Testing. For example, if an Athlete committed two Whereabouts Failures in the six months prior to his/her their retirement, then if he/she they commits another Whereabouts Failure in the first six months in which he/she is they are again available for Out-of-Competition Testing, that amounts to a Code Article 2.4 anti-doping rule violation.]

I.2.5 Athletes who no longer meet the criteria for inclusion in the Registered Testing Pool shall be removed from the Registered Testing Pool. The International Federation or National Anti-Doping Organization shall notify, in writing, such Athletes of their removal from the Registered Testing Pool, copying the International Federation and/or the National Anti-Doping Organization. Athletes who are removed from the Registered Testing Pool, may be considered for inclusion in a testing pool in accordance with Article 4.8.6.

### **I.3 Whereabouts Filing Requirements**

I.3.1 Anti-Doping Organizations shall ensure that Whereabouts Filings are reviewed in accordance with I.3.2 and Code Article 5.6.

~~I.3.1~~ I.3.2 On a date specified by Consistent with Article I.1.4, the Anti-Doping Organization collecting an Athlete's Whereabouts Filings – may specify a which date shall be prior to the first day of each quarter (i.e., 1 January, 1 April, 1 July and 1 October, respectively) – when an Athlete in a Registered Testing Pool ~~must~~ shall file a Whereabouts Filing that contains at least the following information:

- a) a complete mailing address and personal e-mail address where correspondence may be sent to the *Athlete* for formal notice

purposes. Any notice or other item mailed to that address will be deemed to have been received by the *Athlete* five working days after it was deposited in the mail and immediately when notification of a sent e-mail receipt is generated/obtained;

*[Comment to I.3.21(a): For these purposes, the Athlete should specify an address where they/he/she lives or otherwise knows that mail received there will be immediately brought to his/her/their attention. An Anti-Doping Organization is encouraged also to supplement this basic provision with other notice and/or "deemed notice" provisions in its rules (for example, permitting use of fax, email, SMS text, approved social networking sites or applications or other methods of service of notice; permitting proof of actual receipt as a substitute for deemed receipt; permitting notice to be served on the Athlete's National Federation if it is returned undelivered from the address supplied by the Athlete). The aim of such provisions should be to shorten the results management timelines.]*

- ~~b) details of any impairment of the Athlete that may affect the procedure to be followed in conducting a Sample Collection Session;~~
- b) specific confirmation of the *Athlete's* consent to the sharing of his/her/their Whereabouts Filing with other *Anti-Doping Organizations* that have Testing Authority over him/her/them;
- c) for each day during the following quarter, the full address of the place where the *Athlete* will be staying overnight (e.g., home, temporary lodgings, hotel, etc.);
- d) for each day during the following quarter, the name and address of each location where the *Athlete* will train, work or conduct any other regular activity (e.g. school), as well as the usual time-frames for such regular activities; and

*[Comment to I.3.21(de): This requirement applies only to activities that are part of the Athlete's regular routine. For example, if the Athlete's regular routine includes training at the gym, the pool and the track, and regular physio sessions, then the Athlete should provide the name and address of the gym, track, pool and physio in his/her/their Whereabouts Filing, and then set out his/her/their usual routine, e.g., "Mondays: 9-11 gym, 13-17 gym; Tuesdays: 9-11 gym, 16-18 gym; Wednesdays: 9-11 track, 3-5 physio; Thursdays: 9-12 gym 16-18 track; Fridays: 9-11 pool 3-5 physio; Saturdays: 9-12 track, 13-15 pool; Sundays: 9-11 track, 13-15 pool".*

*If the Athlete is not currently training, they/he/she should specify that in his/her/their Whereabouts Filing and detail any other routine that he/shethy will be following in the forthcoming quarter, e.g., his/her/their work routine, or school*

*schedule, or rehab routine, or other routine, and identify the name and address of each location where that routine is conducted and the time-frame during which it -is conducted.*

*In the case of a Team Sport or other sport where competing and/or training are carried out on a collective basis, the Athlete's regular activities are likely to include most if not all Team Activities.]*

- e) *the Athlete's Competition/Event schedule for the following quarter, including the name and address of each location where the Athlete is scheduled to compete during the quarter and the date(s) and time(s) on which he/she is at which they are scheduled to compete at such location(s)*

Subject to Article I.3.34, the Whereabouts Filing must also include, for each day during the following quarter, one specific 60-minute time slot between 5 a.m. and 11 p.m. each day where the Athlete will be available and accessible for Testing at a specific location.

*[Comment to I.3.32: The Athlete can choose which 60-minute time slot between 5 a.m. and 11 p.m. to use for this purpose, provided that during the time slot in question he/she is they are somewhere accessible by the DCO. It could be the Athlete's place of residence, training or Competition, or it could be another location (e.g., work or school). An Athlete is entitled to specify a 60-minute time slot during which he/shethey will be at a hotel, apartment building, gated community or other location where access to the Athlete is obtained -via a front desk, or doorman, or security guard. In addition, an Athlete may specify a time slot when he/she is they are taking part in a Team Activity. In either case, however, any failure to be accessible and available for Testing at the specified location during the specified time slot will be a Missed Test.]*

~~I.3.2~~I.3.3 As the sole exception to Article I.3.32, if (but only if) there are dates in the relevant quarter in which the Athlete is scheduled to compete in an Event (excluding any Events organized by a Major Event Organization), and the Anti-Doping Organization that put the Athlete into the Registered Testing Pool is satisfied that enough information is available from other sources to find the Athlete for Testing on those dates, then the Anti-Doping Organization that put the Athlete into the Registered Testing Pool may waive the Article I.3.2 requirement to specify a 60-minute time-slot in respect of such dates ("In-Competition Dates"). If each of the International Federation and a National Anti-Doping Organization put the Athlete into its Registered Testing Pool, the International Federation's decision as to whether to waive that requirement in respect of In-Competition Dates will prevail. If the requirement to specify a 60-minute time slot has been waived in respect of In-Competition Dates, and the Athlete has specified in his/hertheir Whereabouts Filing a series of dates when and locations

~~whereon which he/shethey~~ anticipates being *In-Competition* (and as a result has not specified a 60-minute time slot for those dates), if ~~he/she isthey are~~ then ~~knocked-out-of-eliminated from~~ the Competition before the end of those dates, so that the remaining dates are no longer *In-Competition* Dates, ~~he/shethey~~ must update ~~his/hertheir~~ Whereabouts Filing to provide all the necessary information for those dates, including the 60-minute time slot specified in Article I.3.32.

~~I.3.3I.3.4~~ It is the *Athlete's* responsibility to ensure that ~~he/shethey~~ provides all of the information required in a Whereabouts Filing as outlined in Annex I.3.2 accurately and in sufficient detail to enable any *Anti-Doping Organization* wishing to do so to locate the *Athlete* for *Testing* on any given day in the quarter at the times and locations specified by the *Athlete* in ~~his/hertheir~~ Whereabouts Filing for that day, including but not limited to during the 60-minute time slot specified for that day in the Whereabouts Filing. More specifically, the *Athlete* ~~shall~~must provide sufficient information to enable the DCO to find the location, to gain access to the location, and to find the *Athlete* at the location. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of *Sample* collection under Code Article 2.3, and/or *Tampering* or *Attempted Tampering* with *Doping Control* under Code Article 2.5. In any event, the *Anti-Doping Organization* shall consider *Target Testing* of the *Athlete*.

*[Comment to I.3.54: For example, declarations such as "running in the Black Forest" are insufficient and are likely to result in a Filing Failure. Similarly, specifying a location that the DCO cannot access (e.g., a "restricted-access" building or area) is likely to result in a Filing Failure. The Anti-Doping Organization may be able to determine the insufficiency of the information from the Whereabouts Filing itself, or alternatively it may only discover the insufficiency of the information when it attempts to test the Athlete and is unable to locate ~~him/herthem~~. In either case, the matter ~~should~~shall be pursued as an apparent Filing Failure, and/or (where the circumstances warrant) as an evasion of *Sample* collection under Code Article 2.3, and/or as *Tampering* or *Attempting to Tamper* with *Doping Control* under Code Article 2.5. Further information on Whereabouts Filing requirements can be found in WADA's Guidelines for Implementing an Effective Testing Program.*

Where an *Athlete* does not know precisely what ~~his/hertheir~~ whereabouts will be at all times during the forthcoming quarter, ~~he/shethey~~ must provide ~~his/hertheir~~ best information, based on where ~~he/shethey~~ expects to be at the relevant times, and then update that information as necessary in accordance with Article I.3.65.]

~~I.3.4I.3.5~~ Where a change in circumstances means that the information in a Whereabouts Filing is no longer accurate or complete as required by



Article I.3.4, the Athlete ~~shall~~must file an update so that the information on file is again accurate and complete. In particular, the Athlete must always update ~~his/her~~their Whereabouts Filings to reflect any change in any day in the quarter ~~in question~~ (a) in the time or location of the 60-minute time slot specified in Article I.3.~~32~~32; and/or (b) in the place where ~~he/she is~~they are staying overnight. The Athlete ~~must~~shall file the update as soon as possible after ~~they~~become aware of the circumstances change, and in any event prior to the 60-minute time slot specified in ~~his/her~~their filing for the relevant day ~~in question~~. A failure to do so may be pursued as a Filing Failure and/or (if the circumstances so warrant) as evasion of Sample collection under Code Article 2.3, and/or Tampering or Attempted Tampering with Doping Control under Code Article 2.5. In any event, the Anti-Doping Organization shall consider Target Testing of the Athlete.

*[Comment to I.3.~~65~~65: The Anti-Doping Organization collecting the Athlete's Whereabouts Filings should provide appropriate mechanisms (e.g., phone, fax, Internet, email, SMS, approved social networking sites or applications) to facilitate the filing of such updates.]*

*It is the responsibility of each Anti-Doping Organization with Testing -Authority over the Athlete to ensure that it checks for any updates filed by the Athlete prior to attempting to collect a Sample from the Athlete based on ~~his/her~~their Whereabouts Filing. For the avoidance of doubt, however, an Athlete who updates ~~his/her~~their 60-minute time slot for a particular day prior to the original 60-minute slot must still submit to Testing during the original 60- minute time slot, if ~~he/she is~~they are located for Testing during that time slot.]*

~~I.3.5~~I.3.6 An Athlete may only be declared to have committed a Filing Failure where the Results Management Authority establishes each of the following:

- a) that the Athlete was duly notified (i) that ~~he/she~~they had been designated for inclusion in a Registered Testing Pool; (ii) of the consequent requirement to make Whereabouts Filings; and (iii) of the Consequences of any ~~F~~failure to comply with that requirement;
- b) that the Athlete failed to comply with that requirement by the applicable deadline;

*[Comment to I.3.~~76~~76(b): An Athlete fails to comply with the requirement to make Whereabouts Filings (i) where ~~he/she~~doesthey do not make any such filing, or where ~~he/she~~they fails to update the filing as required by Article I.3.~~65~~65; or (ii) where ~~he/she~~they makes the filing or update but does not include all of the required information in that filing or update (e.g. ~~he/she~~they does not include the place where ~~he/she~~they will be staying overnight for each day in the*

following quarter, or for each day covered by the update, or omits to declare a regular activity that ~~he/she/they~~ will be pursuing during the quarter, or during the period covered by the update); or (iii) where ~~he/she/they~~ includes information in the original filing or the update that is inaccurate (e.g., an address that does not exist) or insufficient to enable the Anti-Doping Organization to locate ~~him/her/them~~ for Testing (e.g., "running in the Black Forest").]

- c) (in the case of a second or third Filing Failure in the same quarter) that ~~he/she wasthey were~~ given notice, in accordance with Article I.5.2(d), of the previous Filing Failure, and (if that Filing Failure revealed deficiencies in the Whereabouts Filing that would lead to further Filing Failures if not rectified) was advised in the notice that in order to avoid a further Filing Failure ~~he/she/they~~ must file the required Whereabouts Filing (or update) by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received) and yet failed to rectify that Filing Failure by the deadline specified in the notice; and

[Comment to I.3.76(c): The requirement is to give the Athlete notice of the first Filing Failure in the quarter and an opportunity to avoid a subsequent one, before a subsequent Filing Failure may be pursued against ~~him/her/them~~ that quarter. But that is all that is required. In particular, it is not necessary to complete the results management process with respect to the first Filing Failure before pursuing a second Filing Failure against the Athlete.]

- d) that the Athlete's ~~failure to file -Failure to Comply~~ was at least negligent. For these purposes, the Athlete will be presumed to have committed the failure negligently upon proof that ~~he/she wasthey were~~ notified of the requirements yet ~~failed to~~ did not comply with them. That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on ~~his/her/their~~ part caused or contributed to the failure.

## **I.4 Availability for Testing**

- I.4.1 While Code Article 5.2 specifies that every Athlete must submit to Testing at any time and place upon request by an Anti-Doping Organization with Testing jurisdiction over ~~him/her/them~~, in addition an Athlete in a Registered Testing Pool must specifically be present and available for Testing on any given day during the 60-minute time slot specified for that day in ~~his/her/their~~ Whereabouts Filing, at the location that the Athlete has specified for that time slot in such filing. ~~A Failure to Comply with Where~~ this requirement is not met by the Athlete it shall be pursued as an apparent Missed Test. If the Athlete is tested during such a time slot, the Athlete must remain with the DCO until the Sample collection has been completed, even if this

takes longer than the 60-minute time slot. A failure to do so shall be pursued as an apparent violation of Code Article 2.3 (refusal or failure to submit to *Sample* collection).

*[Comment to I.4.1: For Testing to be effective in deterring and detecting cheating, it should be as unpredictable as possible. Therefore, the intent behind the 60-minute time slot is not to limit Testing to that period, or to create a 'default' period for Testing, but rather:*

- a) *to make it very clear when an unsuccessful attempt to test an Athlete will count as a Missed Test;*
- b) *to guarantee that the Athlete can be found, and a Sample can be collected, at least once per day (which should deter doping, or, as a minimum, make it far more difficult);*
- c) *to increase the reliability of the rest of the whereabouts information provided by the Athlete, and so to assist the Anti-Doping Organization in locating the Athlete for Testing outside the 60-minute time slot. The 60-minute time slot "anchors" the Athlete to a certain location for a particular day. Combined with the information that the Athlete must provide as to where he/she is/they are staying overnight, training, competing and conducting other 'regular' activities during that day, the Anti-Doping Organization should be able to locate the Athlete for Testing outside the 60-minute time slot; and*
- d) *to generate useful anti-doping intelligence, e.g., if the Athlete regularly specifies time slots with large gaps between them, and/or changes his time slot and/or location at the last minute. Such intelligence can be relied upon as a basis for the Target Testing of such Athlete.]*

I.4.2 To ensure fairness to the *Athlete*, where an unsuccessful attempt has been made to test an *Athlete* during one of the 60-minute time slots specified in his/her/their Whereabouts Filing, any subsequent unsuccessful attempt to test that *Athlete* (by the same or any other *Anti-Doping Organization*) during one of the 60-minute time slots specified in his/her/their Whereabouts Filing may only be counted as a Missed Test (or, if the unsuccessful attempt was because the information filed was insufficient to find the *Athlete* during the time slot, as a Filing Failure) against that *Athlete* if that subsequent attempt takes place after the *Athlete* has received notice, in accordance with Article I.5.2(d), of the original unsuccessful attempt.

*[Comment to I.4.2: The requirement is to give the Athlete notice of one Missed Test before a subsequent Missed Test may be pursued against him/her/them. But*

*that is all that is required. In particular, it is not necessary to complete the results management process with respect to the first Missed Test before pursuing a second Missed Test against the Athlete.]*

I.4.3 An Athlete may only be declared to have committed a Missed Test where the Results Management Authority can establish each of the following:

- a) that when the Athlete was given notice that he/she/they had been designated for inclusion in a Registered Testing Pool, he/she/wasthey were advised that he/she/they would be liable for a Missed Test if he/she/wasthey were unavailable for Testing during the 60-minute time slot specified in his/her/their Whereabouts Filing at the location specified for that time slot;
- b) that a DCO attempted to test the Athlete on a given day in the quarter, during the 60-minute time slot specified in the Athlete's Whereabouts Filing for that day, by visiting the location specified for that time slot;

*[I.4.3(b) Comment: If the Athlete is not available for Testing at the beginning of the 60-minute time slot, but becomes available for Testing later on in the 60-minute time slot, the DCO should collect the Sample and should not process the attempt as an unsuccessful attempt to test, but should include full details of the delay in availability of the Athlete in the mission report. Any pattern of behaviour of this type should be investigated as a possible anti-doping rule violation of evading Sample collection under Code Article 2.3 or Code Article 2.5. It may also prompt Target Testing of the Athlete.*

*If an Athlete is not available for Testing during his/her/their specified 60-minute time slot at the location specified for that time slot for that day, he/she/they will be liable for a Missed Test even if he/she/they are located later that day and a Sample is successfully collected from him/her/them.]*

- c) that during that specified 60-minute time slot, the DCO did what was reasonable in the circumstances (i.e. given the nature of the specified location) to try to locate the Athlete, short of giving the Athlete any advance notice of the test;

*[Comment to I.4.3(c): Once the DCO has arrived at the location specified for the 60-minute time slot, if the Athlete cannot be located immediately then the DCO should remain at that location for whatever time is left of the 60-minute time slot and during that remaining time he/she/they should do what is reasonable in the circumstances to try to locate the Athlete. See WADA's Guidelines for Implementing an Effective Testing Program for guidance in determining what is reasonable in such circumstances.*

Where an Athlete has not been located despite the DCO's reasonable efforts, and there are only five minutes left within the 60-minute time slot, then as a last resort the DCO may (but does not have to) telephone the Athlete (assuming ~~he/she has~~ they have provided ~~his/her~~ their telephone number in ~~his/her~~ their Whereabouts Filing) to see if ~~he/she is~~ they are at the specified location. If the Athlete answers the DCO's call and is available at (or in the immediate vicinity of) the location for immediate testing (i.e., within the 60 minute time slot), then the DCO should wait for the Athlete and should collect the Sample from ~~him/her~~ them as normal. However, the DCO should also make a careful note of all the circumstances, so that it can be decided if any further investigation should be conducted. In particular, the DCO should make a note of any facts suggesting that there could have been tampering or manipulation of the Athlete's urine or blood in the time that elapsed between the phone call and the Sample collection. If the Athlete answers the DCO's call and is not at the specified location or in the immediate vicinity, and so cannot make himself/herself available for testing within the 60-minute time slot, the DCO should file an Unsuccessful Attempt Report.

Because the making of a telephone call is discretionary rather than mandatory, and is left entirely to the absolute discretion of the Sample Collection Authority, proof that a telephone call was made is not a requisite element of a Missed Test, and the lack of a telephone call does not give the Athlete a defence to the assertion of a Missed Test.]

- d) that Article I.4.2 does not apply or (if it applies) was complied with; and
- e) that the Athlete's ~~failure to be available~~ non-availability for Testing at the specified location during the specified 60-minute time slot was at least negligent. For these purposes, the Athlete will be presumed to have been negligent upon proof of the matters set out at sub- Articles I.4.3\_(a) to (d). That presumption may only be rebutted by the Athlete establishing that no negligent behaviour on ~~his/her~~ their part caused or contributed to ~~his/her~~ their failure (i) to be available for Testing at such location during such time slot, — and (ii) to update ~~his/her~~ their most recent Whereabouts Filing to give notice of a different location where ~~he/she~~ they would instead be available for Testing during a specified 60-minute time slot on the relevant day.

## **I.5 Results Management**

- I.5.1 In accordance with Code Articles 7.1.2 and ~~7.6~~ the International Standard for Results Management, the Results Management Authority in relation to potential Whereabouts Failures shall be the International Federation or the National Anti-Doping Organization with whom the Athlete in question files ~~his/her~~ their whereabouts information.

*[Comment to I.5.1: If an Anti-Doping Organization that receives an Athlete's Whereabouts Filings (and so is his/her/their Results Management Authority for whereabouts purposes) removes the Athlete from its Registered Testing Pool after recording one or two Whereabouts Failures against him/her/them, then if the Athlete ~~remains in~~ (or is put in) another Anti-Doping Organization's Registered Testing Pool, and that other Anti-Doping Organization starts receiving his/her/their Whereabouts Filings, then, that other Anti-Doping Organization becomes the Results Management Authority in respect of all Whereabouts Failures by that Athlete, including those recorded by the first Anti-Doping Organization. In that case, the first Anti-Doping Organization shall provide the second Anti-Doping Organization with full information about the Whereabouts Failure(s) recorded by the first Anti-Doping Organization in the relevant period, so that if the second Anti-Doping Organization records any further Whereabouts Failure(s) against that Athlete, it has all the information it needs to bring proceedings against him/her/them, in accordance with Article I.5.4, for violation of Code Article 2.4.]*

I.5.2 When a Whereabouts Failure appears to have occurred, results management shall proceed as follows:

- a) If the apparent Whereabouts Failure has been uncovered by an attempt to test the *Athlete*, the Testing Authority shall obtain an Unsuccessful Attempt Report from the DCO. If the Testing Authority is different from the Results Management Authority, it shall provide the Unsuccessful Attempt Report to the Results Management Authority without delay, and thereafter it shall assist the Results Management Authority as necessary in obtaining information from the DCO in relation to the apparent Whereabouts Failure.
- b) The Results Management Authority shall review the file (including any Unsuccessful Attempt Report filed by the DCO) to determine whether all of the Article I.3.6 requirements (in the case of a Filing Failure) or all of the Article I.4.3 requirements (in the case of a Missed Test) are met. It shall gather information as necessary from third parties (e.g., the DCO whose test attempt uncovered the Filing Failure or triggered the Missed Test) to assist it in this task.

*[Comment to I.5.2(b): WADA's Results Management, Hearings and Decisions Guidelines include guidance as to what explanations may or may not excuse an apparent Filing Failure or Missed Test.]*

- c) If the Results Management Authority concludes that any of the relevant requirements have not been met (so that no Whereabouts Failure should be declared), it shall so advise WADA, the International Federation or *National Anti-Doping Organization* (as applicable), and the *Anti-Doping Organization* that uncovered the

Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with *Code Article 13*.

- d) If the Results Management Authority concludes that all of the relevant requirements have been met, it shall notify the *Athlete* within 14 days of the date of the apparent Whereabouts Failure. The notice shall include sufficient details of the apparent Whereabouts Failure to enable the *Athlete* to respond meaningfully, and shall give the *Athlete* a reasonable deadline to respond, advising whether he/shethey admits the Whereabouts Failure and, if not, then why not. The notice should also advise the *Athlete* that three Whereabouts Failures in any 12-month period is a *Code Article 2.4* anti-doping rule violation, and should note whether he/she has they had any other Whereabouts Failures recorded against him/herthem in the previous 12 months. In the case of a Filing Failure, the notice must also advise the *Athlete* that in order to avoid a further Filing Failure he/shethey must file the missing whereabouts information by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received).
- e) If the *Athlete* does not respond within the specified deadline, the Results Management Authority shall record the notified Whereabouts Failure against him/herthem.

If the *Athlete* does ~~not~~ respond within the deadline, it shall consider whether his/hertheir response changes its original decision that all of the requirements for recording a Whereabouts Failure have been met.

- i. If so, it shall so advise WADA, the International Federation or *National Anti-Doping Organization* (as applicable), and the *Anti-Doping Organization* that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with *Code Article 13*.
- ii. If not, it shall so advise the *Athlete* (with reasons) ~~and~~ specify a reasonable deadline by which he/shethey may request an administrative review of its decision. The Unsuccessful Attempt Report should be provided to the *Athlete* at this ~~point~~ if it has not been provided to him/herthem earlier in the process.
- f) If the *Athlete* does not request an administrative review by the specified deadline, the Results Management Authority shall ~~record~~

the notified Whereabouts Failure against [him/her/them](#). If the *Athlete* does request an administrative review before the deadline, it shall be carried out, based on the papers only, by one or more persons not previously involved in the assessment of the apparent Whereabouts Failure. The purpose of the administrative review shall be to determine anew whether or not all of the relevant requirements for recording a Whereabouts Failure are met.

- g) If the conclusion following administrative review is that all of the requirements for recording a Whereabouts Failure are not met, the Results Management Authority shall so advise WADA, the International Federation or *National Anti-Doping Organization* (as applicable), and the *Anti-Doping Organization* that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with Code Article 13. On the other hand, if the conclusion is that all of the requirements for recording a Whereabouts Failure are met, it shall notify the *Athlete* and shall record the notified Whereabouts Failure against [him/her/them](#).

[\[Comment to I.5.2: A flow chart reflecting the Whereabouts Failure process is available in WADA's Guidelines for Results Management, Hearing and Decisions\]](#)

- I.5.3 The Results Management Authority shall report a decision to record a Whereabouts Failure against an *Athlete* to WADA and all other relevant *Anti-Doping Organizations*, on a confidential basis, via ADAMS or other system approved by WADA.

*[Comment to I.5.3: For the avoidance of doubt, the Results Management Authority is entitled to notify other relevant Anti-Doping Organizations (on a strictly confidential basis) of the apparent Whereabouts Failure at an earlier stage of the results management process, where it considers it appropriate (for test planning purposes or otherwise). In addition, an Anti-Doping Organization may publish a general statistical report of its activities that discloses in general terms the number of Whereabouts Failures that have been recorded in respect of Athletes under its jurisdiction during a particular period, provided that it does not publish any information that might reveal the identity of the Athletes involved. Prior to any proceedings under Code Article 2.4, an Anti-Doping Organization should not Publicly Disclose that a particular Athlete does (or does not) have any Whereabouts Failures recorded against him/her/them (or that a particular sport does, or does not, have Athletes with Whereabouts Failures recorded against them).]*

- I.5.4 Where three Whereabouts Failures are recorded against an *Athlete* within any 12-month period, the Results Management Authority shall bring proceedings against the *Athlete* alleging violation of Code Article 2.4. If the Results Management Authority fails to bring such



proceedings against an *Athlete* within 30 days of WADA receiving notice of the recording of that *Athlete's* third Whereabouts Failure in any 12-month period, then the Results Management Authority shall be deemed to have decided that no anti-doping rule violation was committed, for purposes of triggering the appeal rights set out at Code Article 13.2.

- I.5.5 An *Athlete* alleged to have committed a Code Article 2.4 anti-doping rule violation shall have the right to have such allegation determined at a full evidentiary hearing in accordance with Code Article 8. The hearing panel shall not be bound by any determination made during the results management process, whether as to the adequacy of any explanation offered for a Whereabouts Failure or otherwise. Instead, the burden shall be on the *Anti-Doping Organization* bringing the proceedings to establish all of the requisite elements of each alleged Whereabouts Failure to the comfortable satisfaction of the hearing panel. If the hearing panel decides that one (or two) Whereabouts Failures(s) have been established to the required standard, but that the other alleged Whereabouts Failure(s) has/have not, then no Code Article 2.4 anti-doping rule violation shall be found to have occurred. However, if the *Athlete* then commits one (or two, as applicable) further Whereabouts Failure(s) within the relevant 12-month period, new proceedings may be brought based on a combination of the Whereabouts Failure(s) established to the satisfaction of the hearing panel in the previous proceedings (in accordance with Code Article 3.2.3) and the Whereabouts Failure(s) subsequently committed by the *Athlete*.

*[Comment to I.5.5: Nothing in Article I.5.5 is intended to prevent the Anti-Doping Organization challenging an argument raised on the Athlete's behalf at the hearing on the basis that it could have been but was not raised at an earlier stage of the results management process.]*

- I.5.6 A finding that an *Athlete* has committed a Code Article 2.4 anti-doping rule violation has the following *Consequences*: (a) imposition of a period of *Ineligibility* in accordance with Code Article 10.3.2 (first violation) or Code Article 10.7 (subsequent violation(s)); and (b) in accordance with Code Article 10.10~~8~~, *Disqualification* (unless fairness requires otherwise) of all individual results obtained by the *Athlete* from the date of the Code Article 2.4 anti-doping rule violation through to the date of commencement of any *Provisional Suspension* or *Ineligibility* period, with all of the resulting *Consequences*, including forfeiture of any medals, points and prizes. For these purposes, the anti-doping rule violation shall be deemed to have occurred on the date of the third Whereabouts Failure found by the hearing panel to have occurred. The impact of any Code Article 2.4 anti-doping rule violation by an individual *Athlete* on the results of any team for which

that *Athlete* has played during the relevant period shall be determined in accordance with *Code* Article 11.

## **I.6 Whereabouts Responsibilities**

I.6.1 Notwithstanding any other provision of this Annex I:

- a) an International Federation may propose, and a *National Anti-Doping Organization* may agree to, the delegation of some or all of the whereabouts responsibilities of the International Federation under this Annex I to the *National Anti-Doping Organization* or [Doping Control Coordinator](#) subject to (f) below;
- b) an International Federation may delegate some or all of its whereabouts responsibilities under this Annex I to the *Athlete's* National Federation or [Doping Control Coordinator](#) subject to (f) below; or
- c) a *National Anti-Doping Organization* may delegate some or all of its whereabouts responsibilities under this Annex I to the *Athlete's* National Federation, [Doping Control Coordinator](#) or other appropriate *Anti-Doping Organization* with authority over the *Athlete* in question subject to (f) below;
- d) where no appropriate *National Anti-Doping Organization* exists, the *National Olympic Committee* shall assume the whereabouts responsibilities of the *National Anti-Doping Organization* set out in this Annex I; and
- e) where WADA determines that the International Federation or *National Anti-Doping Organization* (as applicable) is not discharging some or all of its whereabouts responsibilities under this Annex I, WADA may delegate some or all of those responsibilities to any other appropriate *Anti-Doping Organization*.
- e)f) At all times the *Anti-Doping Organization* (whether the International Federation, *National Anti-Doping Organization* or other *Anti-Doping Organization* with authority over the *Athlete* in question) that delegates its responsibilities (in whole or in part) to a National Federation or [Doping Control Coordinator](#) remains ultimately responsible for the acts and/or omissions of such entity to whom it has delegated authority.

I.6.2 A National Federation must use its best efforts to assist its International Federation and/or *National Anti-Doping Organization* (as applicable) in collecting Whereabouts Filings from *Athletes* who are

subject to that National Federation's authority, including (without limitation) making special provision in its rules for that purpose.

- I.6.3 An *Athlete* may choose to delegate the task of making his/her/their Whereabouts Filings (and/or any updates thereto) to a third party, such as a coach, a manager or a National Federation, provided that the third party agrees to such delegation. The *Anti-Doping Organization* collecting the *Athlete's Whereabouts Filings* may require written notice of any agreed delegation to be filed with it, signed by both the *Athlete* in question and the third party delegate.

*[Comment to I.6.3: For example, an Athlete participating in a Team Sport or other sport where competing and/or training is carried out on a collective basis, may delegate the task of making his/her/their Whereabouts Filings to the team, to be carried out by a coach, a manager or a National Federation. Indeed, for the sake of convenience and efficiency, an Athlete in such a sport may delegate the making of his/her/their Whereabouts Filings to his/her/their team not only in respect of periods of Team Activities but also in respect of periods where he/she/isthey are not with the team, provided the team agrees. In such circumstances, the Athlete will need to provide the information as to his/her/their individual whereabouts for the period in question to the team, to supplement the information it provides in relation to Team Activities.]*

- I.6.4 In all cases, however, including in the case of *Athletes* in *Team Sports*:

- a) each *Athlete* in a *Registered Testing Pool* remains ultimately responsible at all times for making accurate and complete Whereabouts Filings, whether he/shethey makes each filing personally or delegates the task to a third party. It shall not be a defence to an allegation of a Filing Failure that the *Athlete* delegated such responsibility to a third party and that third party failed to comply with the applicable requirements; and
- b) such *Athlete* remains personally responsible at all times for ensuring he/she/isthey are available for *Testing* at the whereabouts declared on his/her/their Whereabouts Filings. It shall not be a defence to an allegation of a Missed Test that the *Athlete* delegated responsibility for filing his/her/their whereabouts information for the relevant period to a third party and that third party failed to file the correct information or failed to update previously-filed information so as to ensure that the whereabouts information in the Whereabouts Filing for the day in question was current and accurate.

*[Comment to I.6.4: For example, if an attempt to test an Athlete during a 60-minute time slot designated within a particular Team Activity period is*

unsuccessful due to a team official filing the wrong information in relation to the Team Activity, or failing to update previously-filed information where the details of the Team Activity have subsequently changed, the team may be liable for sanction under the applicable rules of the International Federation for such failure, but the Athlete himself/herself will still be liable for a Whereabouts Failure. This must be the case because if an Athlete is able to blame his/her/their team if he/she-isthey are not available for Testing at a location declared by his/her/their team, then he/shethey will be able to avoid accountability for his/her/their whereabouts for Testing. Of course the team has the same interest as the Athlete in ensuring the accuracy of the Whereabouts Filing and avoiding any Whereabouts Failures on the part of the Athlete.]

## Annex J – Event Testing

J.1 As anticipated by *Code* Article 5.3.2., this Annex sets out the procedure to be followed by *WADA* in considering requests made by *Anti-Doping Organizations* for permission to conduct *Testing* at an *Event* where they have been unable to reach agreement on such *Testing* with the ruling body of the *Event*.

J.2 *WADA*'s aim in considering such requests is to encourage collaboration and coordination between different *Anti-Doping Organizations* –to optimize the effectiveness of their respective *Testing* programs while ensuring that each *Anti-Doping Organization's* responsibilities are properly managed to avoid creating operational disturbance and harassment for *Athletes*.

J.3 Any *Anti-Doping Organization* that is not responsible for initiating and directing *Testing* at an *Event* in accordance with *Code* Article 5.3.2, but which nevertheless desires to conduct *Testing* at such *Event* shall, **prior to contacting WADA**, request such permission from the ruling body of the *Event* in written form with full supporting reasons.

J.4 Such request shall be sent to the ruling body at least **35 days** prior to the beginning of the *Event* (i.e., 35 days prior to the beginning of the *In-Competition* period as defined by the rules of the International Federation in charge of that sport).

J.5 If the ruling body refuses or does not respond within **7 days** from receipt of the request, the requesting *Anti-Doping Organization* may send to *WADA* (with a copy to the ruling body) a written request with full supporting reasons, a clear description of the situation, and all the relevant correspondence between the ruling body and the requesting *Anti-Doping Organization*. Such request must be received by *WADA* no later than **21 -days** prior to the beginning of the *Event*.

J.6 Upon receipt of such request, *WADA* will immediately ask the ruling body for its position on the request and the ground for its refusal. The ruling body shall send *WADA* an answer within **7 days** of receipt of *WADA's* request.

J.7 Upon receipt by *WADA* of the ruling body's answer, or if no answer is provided by the ruling body within the **7 days**, *WADA* will render a reasoned decision within the next **7 days**. In making its decision, *WADA* will consider, amongst others, the following:

- a) The Test Distribution Plan for the *Event*, including the number and type of tests planned for the *Event*;
- b) The menu of *Prohibited Substances* for which the *Samples* collected will be analyzed;
- c) The overall anti-doping program applied in the sport;
- d) The logistical issues that would be created by allowing the requesting *Anti-Doping Organization* to test at the *Event*;
- e) Any other grounds submitted by the requesting *Anti-Doping Organization* and/or the ruling body refusing such *Testing*; and
- f) Any other available information that *WADA* considers relevant.

J.8 *Anti-Doping Organizations who do not have Event Testing jurisdiction but who received intelligence regarding an Event shall share the intelligence with the ruling body of the Event so that an assessment can be made whether Testing shall occur at short notice i.e. within the 35 day period preceding the Event. In the event the Anti-Doping Organization cannot contact or the ruling body of the Event fails to engage with them, the Anti-Doping Organization shall provide such intelligence to WADA.*

J.8J.9 If *WADA* decides that permission for *Testing* at the *Event* should be granted, either as requested by the requesting *Anti-Doping Organization* or -as proposed by *WADA*, *WADA* may give the ruling body the possibility of conducting such *Testing*, unless *WADA* judges that this is not realistic and/or appropriate in the circumstances.

## Annex K - Collection, Storage and Transport of Blood ABP Samples

### K.1 Objective

To collect an *Athlete's* blood *Sample*, intended for use in connection with the measurement of individual *Athlete* blood variables within the framework of the *Athlete Biological Passport* program, in a manner appropriate for such use.

### K.2 Requirements

K.2.1 ~~If collection occurs after training or Competition, t~~est planning shall consider the *Athlete's* whereabouts information to ensure ~~Testing-Sample~~ collection does not occur within two hours of ~~such the~~ *Athlete's* training, Competition participation or other similar physical activity. If the *Athlete* has trained or competed less than two hours before the time the *Athlete* has been notified of ~~his/her~~their selection, the DCO or other designated Sample Collection Personnel shall chaperone the *Athlete* until this two-hour period has elapsed.

K.2.2 If the *Sample* was collected within two hours of training or *Competition*, the nature, duration and intensity of the exertion shall be recorded by the DCO to make this information available to the APMU and subsequently to the Experts.

K.2.3 Although a single blood *Sample* is sufficient within the framework of the *ABP*, it is recommended to collect an additional "B" *Sample* for a possible subsequent analysis of *Prohibited Substances* and *Methods* in whole blood (e.g. detection of Homologous Blood Transfusion (HBT), and/or Erythropoiesis Stimulating Agents (ESAs).

K.2.4 For *Out-of-Competition Testing*, "A" and "B" urine *Samples* should be collected together with the blood *Sample(s)* in order to permit Analytical Testing for ESAs unless otherwise justified by a specific intelligent testing strategy.

[Comment to K.2.4: WADA's Blood Sample Collection Guidelines reflect these protocols and include practical information on the integration of ABP *Testing* into "traditional" *Testing* activities. A table has been included within the Blood Sample Collection Guidelines that identifies which particular timelines for delivery are appropriate when combining particular test types (i.e. ABP + Growth Hormone (GH), ABP + HBT, etc.), and which types of *Samples* may be suited for simultaneous transport.]

K.2.5 The *Sample* shall be refrigerated from its collection until its analysis with the exception of when the *Sample* is analyzed at the collection

site without delay. The storage procedure is the DCO's responsibility.

K.2.6 The storage and transport device shall be capable of maintaining blood *Samples* at a cool temperature during storage. Whole blood *Samples* shall not be allowed to freeze at any time. In choosing the storage and transport device, the DCO shall take into account the time of storage, the number of *Samples* to be stored in the device and the prevailing environmental conditions (hot or cold temperatures). The storage device shall be one of the following:

- a) Refrigerator.
- b) Insulated cool box.
- c) Isotherm bag.
- d) Any other device that possesses the capabilities mentioned below.

K.2.7 A temperature data logger shall be used to record the temperature from the collection to the analysis of the *Sample* except when the *Sample* is analyzed at the collection site without delay. The temperature data logger shall be able to:

- a) record the temperature in degrees Celsius at least once per minute;
- b) record time in GMT;
- c) report the temperature profile over time in text format with one line per measurement following the format "YYYY-MM-DD HH:MM T";
- d) have a unique ID of at least six characters.

K.2.8 Following notification to the *Athlete* that he/she has been selected for *Doping Control* and following the DCO/BCO's explanation of the *Athlete's* rights and responsibilities in the *Doping Control* process, the DCO/BCO shall ask the *Athlete* to remain in a normal seated position with feet on the floor for at least 10 minutes prior to providing a blood *Sample*.

[Comment: the *Athlete* shall not stand up at any time during the 10 minutes prior to *Sample* collection. To have the *Athlete* seated during 10 minutes in a waiting room and then to call the *Athlete* into a blood collection- room is not acceptable.]

K.2.9 ~~In addition to a regular *Doping Control* form, the DCO/BCO shall use the ABP Supplementary Form if such a form is available. If an ABP-~~



~~specific *Doping Control* form is unavailable, the DCO/BCO shall still use a regular *Doping Control* form but he/she shall collect and record the following additional information on an ABP supplementary form, ABP specific *Doping Control* form or other related report form to be signed by the *Athlete* and the DCO/BCO:~~

- a) Has the *Athlete* been seated for at least ten minutes with their feet on the floor prior to blood collection?
- b) Was the *Sample* collected immediately following at least three consecutive days of an intensive endurance *Competition*, such as a stage race in cycling?
- c) ~~Confirm that there was no~~ Has the *Athlete* had a training session or *Competition* in the two hours prior to the blood test?
- d) Did the *Athlete* train, compete or reside at an altitude greater than 1,500 meters within the prior two weeks? If so, or if in doubt, the name and location of the place where the *Athlete* had been and the duration of his/~~her~~their stay shall be recorded. The estimated altitude shall be entered, if known.
- e) Did the *Athlete* use any form of altitude simulation such as a hypoxic tent, mask, etc. during the prior two weeks? If so, as much information as possible on the type of device and the manner in which it was used (e.g. frequency, duration, intensity) should be recorded.
- f) Did the *Athlete* receive any blood transfusion(s) during the prior three months? Was there any blood loss due to accident, pathology or donation in the prior three months? What was the estimated volume?
- g) ~~The DCO/BCO should record on the *Doping Control* form~~ Has the *Athlete* been exposed to any extreme environmental conditions the *Athlete* was exposed to during the last two hours prior to blood collection, including any sessions in any artificial heat environment, such as a sauna?-  
~~Was the *Sample* collected immediately following at least three consecutive days of an intensive endurance *Competition*, such as a stage race in cycling?~~

K.2.10 The DCO/BCO shall start the temperature data logger and place it in the storage device. It is important to start recording the temperature before Sample collection.

K.2.11 The storage device shall be located in *Doping Control Station* and shall

be kept secured appropriately in accordance with the ISTI.

- K.2.12 The DCO/BCO instructs the *Athlete* to select the Sample Collection Equipment in accordance with ISTI Article E.4.6. If Vacutainer®(s) are not pre-labelled, the DCO/BCO shall label them with a unique Sample code number prior to the blood being drawn and the *Athlete* shall check that the code numbers match.

### **K.3 ~~K.3~~ — The *Sample* Collection Procedure**

- K.3.1 The *Sample* collection procedure for the collection of blood for the purposes of the *ABP* is consistent with the procedure set out in ISTI Articles E.4, including the 10-minute (or more) seated period, with the following additional elements:

~~a) The BCO ensures that the 10-minute (or more) seated period has elapsed prior to performing venipuncture and drawing blood; and~~

~~b) a) \_\_\_\_\_~~ The BCO ensures that the vacuum tubes were filled appropriately; and

~~e) b) \_\_\_\_\_~~ After the blood flow into the tube ceases, the BCO removes the tube from the holder and homogenizes the blood in the tube manually by inverting the tube gently at least three times.

- K.3.2 The *Athlete* and the DCO/BCO sign the *Doping Control* and *ABP* supplementary form(s), when applicable.

- K.3.3 The blood *Sample* is sealed and deposited in the storage device next to the temperature data logger.

### **K.4 Transportation Requirements**

- K.4.1 Blood *Samples* shall be transported in a device that maintains the integrity of *Samples* over time, due to changes in external temperature.

- K.4.2 The transport procedure is the DCO's responsibility. The transport device shall be transported by secure means using an *ADO*-authorized transport method.

- K.4.3 The integrity of the *Markers* used in the haematological module of the *ABP* is guaranteed when the Blood Stability Score (BSS) remains below 85, where the BSS is computed as

$$\mathbf{BSS = 3 * T + CAT}$$

with CAT being the Collection to Analysis Time (in hours), and T the average Temperature (in degrees Celsius) measured by the data logger

between *Sample* collection and analysis.

- K.4.4 Within the framework of the BSS, the following table can be used by the DCO/BCO to estimate the maximal transport time to a Laboratory or WADA- Approved Laboratory for the ABP, called the Collection to Reception Time (CRT), for a given average temperature T:

T [°C]	CRT [h]
15	35
12	41
10	46
9	48
8	50
7	53
6	55
5	58
4	60

- K.4.5 The DCO/BCO shall ~~apply a conservative approach and rapidly~~ as soon as possible transport the *Sample* to a Laboratory or WADA- Approved Laboratory for the ABP located close to the *Sample* collection site.

- K.4.6 The Testing Authority or Sample Collection Authority, via the DCO, BCO or other Sample Collection Personnel, shall report without delay into ADAMS:

- a) The *Doping Control* form;
- b) The *ABP S*supplementary form, and/or the additional information specific to the *ABP* collected on a related report form ~~or supplementary report~~;
- c) In the Chain of Custody, the temperature data logger ID (without any time reference) and the time zone of the testing location in GMT.

## Annex L – Results Management Requirements and Procedures for the Athlete Biological Passport

### L.1 Administrative Management

L.1.1 The ~~Anti-Doping Organization (ADO) referred to throughout this Annex on Results Management is the Passport Custodian. As a rule, all~~ requirements and procedures described in this Annex apply to all modules of the Athlete Biological Passport (ABP) except where expressly stated, or implied by the context.

L.1.2 These processes shall be administered and managed by an Athlete Passport Management Unit (APMU) on behalf of, ~~or within,~~ the ~~ADO~~ Passport Custodian. The APMU will initially review profiles to facilitate targeting recommendations for the ~~ADO~~ Passport Custodian when appropriate or refer to the Experts as required. Management and communication of the biological data, APMU reporting and Expert reviews shall be recorded in ADAMS and be shared by the Passport Custodian with other Anti-Doping Organizations (ADO(s)) with Testing jurisdiction over the Athlete to coordinate further Passport Testing as appropriate. A key element for ABP management and communication is the APMU Report in ADAMS which provides an overview of the current status of the Athlete's Passport including the latest targeting recommendations and a summary of the Expert reviews.

L.1.3 This Annex describes a step-by-step approach to the review of an Athlete's Passport:

- a) The review begins with the application of the Adaptive Model.
- b) In case of an *Atypical Passport Finding (ATPF)* or when the APMU considers that a review is otherwise justified, an Expert conducts an initial review and returns an evaluation based on the information available at that time.
- c) In case of a "Likely doping" initial review, the Passport is then subjected to a review by three Experts including the Expert who conducted the initial review.
- d) In case of a "Likely doping" consensus of the three Experts, the process continues with the creation of an ABP Documentation Package.
- e) An *Adverse Passport Finding (APF)* is reported by the APMU to the ~~ADO~~ Passport Custodian if the Experts' opinion is maintained after review of all information available at that stage, including the ABP Documentation Package.

- f) The *Athlete* is notified of the Adverse Passport Finding (APF) and offered the opportunity to provide explanations.
- g) If after review of the explanations provided by the *Athlete*, the Experts maintain their unanimous conclusion that it is highly likely that the *Athlete* used a *Prohibited Substance* or a *Prohibited Method*, an anti- doping rule violation (ADRV) is asserted against the *Athlete* by the ADO–Passport Custodian and disciplinary proceedings are initiated (Code Article 7.5).

*[Comment: The ABP follows a similar logical structure to Results Management for analytical Testing, with both processes culminating in a possible ADRV based on, respectively, Code Article 2.2 and Code Article 2.1. An ATPF is to the ABP what an Atypical Finding (ATF) is to analytical Testing; both require further investigation. Similarly, an APF is to the ABP what the Adverse Analytical Finding (AAF) is to analytical Testing; both require Results Management in accordance with Code Article 7.]*

## **L.2 Initial Review Phase**

### L.2.1 Review by the Adaptive Model

L.2.1.1 ~~The biological *Markers* of the *ABP* are automatically processed in *ADAMS* by the Adaptive Model. In *ADAMS*, the Adaptive Model automatically processes biological *Markers* of the *ABP*. These *Markers* include primary *Markers* that are defined as the most specific to doping and secondary *Markers* that provide supporting evidence of doping in isolation or in combination with other *Markers*.~~ The Adaptive Model predicts for an individual an expected range within which a series of *Marker* values falls assuming a normal physiological condition. Outliers correspond to those values outside of the 99%-range, from a lower limit corresponding to the 0.5<sup>th</sup> percentile to an upper limit corresponding to the 99.5<sup>th</sup> percentile (1:100 chance or less that this result is due to normal physiological variation). A specificity of 99% is used to identify both haematological and steroidal *ATPFs*. In the case of sequence deviations (sequence *ATPFs*), the applied range-specificity is 99.9% (1:1000 chance or less that this is due to normal physiological variation).

L.2.1.2 An *ATPF* is a result generated by the Adaptive Model in *ADAMS* which identifies either a primary *Marker(s)* value(s) as being outside the *Athlete's* intra- individual range or a longitudinal profile of a primary *Marker* values (sequence deviations) as being outside expected ranges, assuming a normal physiological condition. An *ATPF* requires further attention and review.

L.2.1.3 The APMU may also submit a Passport to the Expert when there is no *ATPF* (see L.2.2.34 below).

L.2.1.4 *ATPF* – Haematological Module

L.2.1.4.1 For the Haematological Module, ~~an ATPF is generated when the Adaptive Model automatically processes in ADAMS two primary Markers,~~ haemoglobin concentration (HGB) and ~~or~~ stimulation index OFF-score (OFFS), and two secondary Markers, the reticulocyte percentage (RET%) and the Abnormal Blood Profile Score (ABPS). ~~An ATPF is generated when a HGB and /or OFFS value of the last test falls outside the expected intra-individual ranges.~~ Furthermore, the longitudinal profile composed of (up to) the last ~~520~~ valid HGB and/or OFFS values is also considered as an ATPF when deviating from the expected ranges, as determined by the Adaptive Model (sequence ATPF). An ATPF is only generated by the Adaptive Model based on values of the primary Markers HGB and OFFS or the sequence thereof.

L.2.1.4.2 In case of an ATPF the APMU shall advise the Testing Authority in the APMU report, or via the Passport Custodian where appropriate, on whether the Sample, or any accompanying urine Sample, should be subjected to analysis for Erythropoietic Stimulating Agents (ESAs). The APMU should also provide recommendations for ESA analysis when the Adaptive Model detects an abnormality in the secondary Markers RET% and/or ABPS.

#### L.2.1.5 ATPF – Steroidal Module

L.2.1.5.1 ~~For the Steroidal Module, an ATPF is generated when at least one value of the ratios T/E, A/T, A/Etio, 5 $\alpha$ Adiol/5 $\beta$ Adiol or 5 $\alpha$ Adiol/E.~~ For the Steroidal Module, the Adaptive Model automatically processes in ADAMS one primary marker, the T/E ratio, and four secondary Markers, the ratios A/T, A/Etio, 5 $\alpha$ Adiol/5 $\beta$ Adiol and 5 $\alpha$ Adiol/E. L.2.1.5.2 Ratios coming from a Sample that showed signs of heavy microbial degradation, and ratios for which one or both of the concentrations were not measured accurately by the Laboratory as established in the Technical Document for Endogenous Anabolic Androgenic Steroids (TDEAAS), shall not be processed by the Adaptive Model. In the case where the Laboratory reports a factor that may otherwise cause an alteration in the steroid profile, such as the presence of ethanol glucuronide in the Sample, the APMU shall evaluate whether the steroid profile can still be processed by the Adaptive Model and the Sample be subjected to a Confirmation Procedure (see TDEAAS).

L.2.1.5.3 ~~An ATPF is generated when a value of the T/E ratio falls outside the expected intra-individual ranges.~~ In addition, the "longitudinal steroid profile" composed of (up to) the last ~~205~~ valid values of ~~one of these five ratios the T/E ratio~~ is also considered as atypical when deviating from the expected ranges, as determined by the Adaptive Model (sequence ATPF).

L.2.1.5.4 In the case of a longitudinal steroidal profile, an ATPF caused by an atypically high T/E value will trigger an ATPF Confirmation Procedure Request notification through ADAMS as established in the TDEAAS. When the Adaptive Model determines an ~~ATPF for abnormality in~~ any of the other ratios of the

“steroid profile” (A/T, A/Etio, 5 $\alpha$ Adiol/5 $\beta$ Adiol, 5 $\alpha$ Adiol/E), the APMU should advise the Testing Authority in the APMU report, or via the Passport Custodian where appropriate, on whether the Sample should be subjected to a Confirmation Procedure.

~~Ratios coming from a Sample that showed signs of heavy microbial degradation, and ratios for which one or both of the concentrations were not measured accurately by the Laboratory as established in the TDEAAS, shall not be processed by the Adaptive Model. In the case where the Laboratory reports a factor that may otherwise cause an alteration in the steroid profile, such as the presence of ethanol glucuronide in the Sample, the APMU shall evaluate whether the steroid profile can still be processed by the Adaptive Model and the Sample be subjected to a Confirmation Procedure.~~

L.2.1.6 Departure from WADA ABP requirements

L.2.1.6.1 If there is a departure from WADA ABP requirements for Sample collection, transport and analysis, the biological Marker result obtained from this Sample affected by the non-conformity shall not be considered in the Adaptive Model calculations (for example, ~~reticulocytes are RET% can be affected but not haemoglobin~~HGB under certain transportation conditions).

L.2.1.6.2 ~~The part of the A Marker result which is not affected by the non-conformity can still be considered in the Adaptive Model calculations. In such case, the APMU shall provide the specific explanations supporting the inclusion of the result(s). In all cases, the Sample shall remain recorded in the Athlete's Passport. The Experts may include all results in their review provided that their conclusions may be validly supported when taking into account the effects in the context of the non-conformity.~~

## L.2.2 The Initial Expert Review

L.2.2.1 A Passport generating an ATPF, or for which a review is otherwise justified, shall be sent by the APMU to an Expert for ~~anonymous~~ review in ADAMS. This should take place ~~no later than within 7seven~~ working days following the generation of the ATPF in ADAMS. The review of the Passport shall be conducted ~~anonymously (without reference to the specific Athlete by name)~~ based on the ~~profile~~Passport and other basic information (e.g. competition schedules), which ~~could may~~ be already available, such that the Expert is blinded to the identity of the Athlete.

~~The Experts shall be external to the APMU and to the ADO, except in the case described in 2.2.2 for the Steroidal Module. [Comment to L.2.2.1: If a result rendered by a Laboratory represents an ATPF caused by an atypically high T/E value, the Sample will undergo a Confirmation Procedure, including GC-C-IRMS analysis. If the result of the GC-C-IRMS Confirmation Procedure is negative or inconclusive then the APMU shall seek an Expert review. An APMU or Expert review is not required when the GC-C-IRMS Confirmation Procedure renders an~~

### Adverse Analytical Finding (AAF).]

L.2.2.2 If a Passport has been recently reviewed by an Expert and the Passport Custodian is in the process of executing a specific multi-Sample Testing strategy on the Athlete, the APMU may delay the review of a Passport generating an ATPF triggered by one of the Samples collected in this context until completion of the planned series of tests. In such situations, the APMU shall clearly indicate the reason for delaying the review of the Passport in the APMU report.

L.2.2.3 If the first and unique result in a Passport is flagged as an ATPF by the Adaptive Model, the APMU may recommend the collection of an additional Sample before initiating the initial Expert review. Review—Haematological Module If the Haematological Module generates an ATPF or if such review is otherwise requested by the APMU, then the results/profile must be reviewed by an Expert designated by the APMU.

#### L.2.2.2 Review—Steroidal Module

If a result rendered by a Laboratory represents an ATPF caused by an atypically high T/E value, the Sample will undergo a Confirmation Procedure, including GC-C IRMS analysis. If the result of the GC-C IRMS Confirmation Procedure is negative or inconclusive then the APMU shall seek an Expert review. An APMU or Expert review is not required when the GC-C IRMS Confirmation Procedure renders an Adverse Analytical Finding (AAF).

If the first and unique result in a Passport is identified as atypical by the Adaptive Model (with a negative or inconclusive IRMS result, if applicable), the APMU may recommend the collection of an additional Sample before initiating the initial Expert review.

If the result represents an ATPF for any of the ratios A/T, A/Etio, 5 $\alpha$ Adiol/5 $\beta$ Adiol, 5 $\alpha$ Adiol/E, the APMU should evaluate the Passports and provide an APMU report in ADAMS.

When the APMU is associated to a Laboratory, it can replace the first external Expert and provide a review through the APMU Report in ADAMS.

#### L.2.2.4 Review in the absence of an ATPF

L.2.2.4.1 For both Modules, a A Passport may also be sent for Expert review in the absence of an ATPF where the Passport includes other elements otherwise justifying a review. These elements may include, without limitation:

- a) Data not considered in the Adaptive Model
- b) Any abnormal levels and/or variations of Markers
- c) Signs of hemodilution in the haematological Passport



- d) Steroid levels in urine below the corresponding limit of quantification (LOQ) of the assay
- e) Intelligence in relation to the *Athlete* concerned.

L.2.2.4.2 An Expert review initiated in the above-mentioned situations may result in the same consequences as an Expert review triggered by an *ATPF*.

#### L.2.2.5 Expert Evaluation

L.2.2.5.1 When evaluating a *Passport*, an Expert weighs the likelihood that the *Passport* is the result of the *Use of a Prohibited Substance or Prohibited Method* against the likelihood that the *Passport* is the result of a normal physiological or pathological condition in order to provide one of the following opinions: "Normal", "Suspicious", "Likely doping" or "Likely medical condition". For a "Likely doping" opinion, the Expert shall come to the conclusion that the likelihood that the *Passport* is the result of the *Use of a Prohibited Substance or Prohibited Method* outweighs the likelihood that the *Passport* is the result of a normal physiological or pathological condition.

*[Comment to L.2.2.5.1: When evaluating competing propositions, the likelihood of each proposition is evaluated by the Expert based on the evidence available for that proposition. It is acknowledged that it is the relative likelihoods (i.e., likelihood ratio) of these competing propositions that ultimately determine the Expert's opinion. For example, where the Expert is of the view that a *Passport* is highly likely the result of the *Use of a Prohibited Substance or Prohibited Method*, it is necessary for a "Likely doping" evaluation that the Expert consider that it is unlikely that it may be the result of a normal physiological or pathological condition. Similarly, where the Expert is of the view that a *Passport* is likely the result of the *Use of a Prohibited Substance or Prohibited Method*, it is necessary for a "Likely doping" evaluation that the Expert consider that it is highly unlikely that it may be the result of a normal physiological or pathological condition.]*

L.2.2.5.2 To reach a conclusion of "Likely doping" in the absence of an *ATPF*, the Expert shall come to the opinion that it is highly likely that the *Passport* is the result of the *Use of a Prohibited Substance or Prohibited Method* and that it is highly unlikely that the *Passport* is the result of a normal physiological or pathological condition.

### L.2.3. Consequences of the Initial Review

Depending on the outcome of the initial review, the APMU will take the following action:

<b>Expert Evaluation</b>	<b>APMU Action</b>
<del>"Normal": Likely physiological condition</del>	Continue normal <i>Testing pattern</i> <u>plan</u> .
<del>"Passport-Suspicious": Further data is required.</del>	Alert <del>Provide recommendations to ADO</del> <u>the Passport Custodian</u> <del>to do for Target Testing and provide recommendations</del> <u>Sample analysis and/or requesting further information</u> <del>data as required.</del>
<del>"Likely doping": Considering the information within the Athlete's Passport, it is likely that the Passport is the result the Use of a Prohibited Substance or Prohibited Method and it is highly unlikely that it may be the result of a normal physiological or pathological condition.</del>	Send to a panel of three <u>Experts</u> , including the initial <u>Expert</u> , as per section L.3 of this Annex L.
<del>"Likely medical condition": Considering the information within the Passport, it is likely that the Passport is the result of a pathological condition.</del>	Inform the <i>Athlete</i> via the <u>Passport Custodian</u> <del>ADO</del> (or send to other <u>Experts</u> ).

[Comment: The ABP is a tool to detect the possible Use of Prohibited Substance(s) or Prohibited Method(s) and it is not intended as a health check or for medical monitoring. It is important that the ADO Passport Custodian educates the Athletes to ensure that they undergo regular health monitoring and not rely on the ABP for this purpose. Nevertheless, the ADO Passport Custodian should inform the Athlete in case the Passport indicates a likely pathology as determined by the Experts.]

## L.3 Review by Three Experts

L.3.1 In the event that the evaluation by opinion of the appointed Expert in the initial review ~~supports the proposition that the profile, pending other explanation to be provided at a later stage, is likely to be the result the Use of a Prohibited Substance or Prohibited Method and highly unlikely to be the result that~~ of a normal physiological or a pathological condition, "Likely doping", the Passport shall then be sent by the APMU to two additional Experts for review ~~by the APMU to a group of~~. This should take place within seven working days after the reporting of the initial review. These additional reviews shall be conducted without knowledge of the initial review. These three Experts, referred to as now constitute the Expert Panel, composed of the Expert appointed in the initial review and these two other Experts. This should take place no later than 7 working days after the reporting of the initial review. For the review of a Haematological Passport, the Expert Panel should have

knowledge in the fields of clinical haematology, sport medicine and/or exercise physiology.

For the review of the Steroidal Passport, the Expert Panel should be composed of individuals with knowledge in the fields of Laboratory steroid analysis, steroid doping and metabolism and/or clinical endocrinology. In the case of the Steroidal Module, where the first Expert may be from the APMU, the two other Experts must be external to the APMU.

L.3.2 The review by the three Experts must follow the same ~~legie~~procedure where applicable, as presented in section L.2.2 of this Annex. The three Experts shall each provide their individual reports in ADAMS. This should take place ~~no later than~~within seven 7 working days after reception of the request.

L.3.3 The APMU is responsible for liaising with the Experts and for advising the ~~ADO~~ Passport Custodian of the subsequent Expert assessment. ~~If more information is required to review the file, the Experts can request further details information, as they deem relevant for their review, such as those related~~notably information related to medical issues/conditions, ~~e~~Competition schedule and/or Sample(s) analysis ~~detail~~results. Such requests are directed via the APMU to the ~~ADO~~ Passport Custodian.

L.3.4. A unanimous opinion among the three Experts is necessary in order to proceed further towards declaring an APF, which means that all three Experts come to the conclusion that considering the available information contained within the Passport at this stage, it is likely that a Prohibited Substance or Prohibited Method had been used, and highly unlikely that the biological profile is the result of any other cause. ~~R~~render an opinion of "Likely doping". The conclusion of the Experts must be reached with the three Experts assessing the Athlete's Passport with the same data. ~~(i.e. three Expert opinions cannot be accumulated over time, as data is added to a profile).~~

*[Comment to L.3.4: The three Expert opinions cannot be accumulated over time based on different data.]*

L.3.5 To reach a conclusion of "Likely doping" in the absence of an ATPF, the Expert Panel shall come to the unanimous opinion that it is highly likely that the Passport is the result of the Use of a Prohibited Substance or Method and that there is no reasonably conceivable hypothesis under which the Passport might be the result of a normal physiological condition and highly unlikely that it is the result of pathological condition.

L.3.6 In the case when two Experts evaluate the Passport as "Likely doping" and the third Expert as "Suspicious" but asking for more information, the APMU ~~can~~shall confer with the Expert Panel before they finalize their opinion. The group can also seek advice from an appropriate outside Expert, although this must be done ~~with~~while maintaining strict confidentiality of the Athlete's personal information.

~~To reach a conclusion in the absence of an ATPF, the Expert Panel shall come to the unanimous opinion that it is highly likely that the Passport is the result of the Use of a Prohibited Substance or Method and that there is no reasonably conceivable hypothesis under which the Passport might be the result of a physiological condition and highly unlikely that it is the result of pathological condition.~~

~~L.3.7 If no unanimity can be reached among the three Experts, the APMU shall report the Passport as "Suspicious", update the APMU report, and should follow up on requests for additional information or expertise, or recommend that the ADOPassport Custodian to pursue additional Testing and/or gather intelligence on the Athlete (refer to Information Gathering and Intelligence Sharing Guidelines), as appropriate.~~

#### **L.4 Conference Call, Compilation of the ABP Documentation Package and Joint Expert Report**

~~L.4.1 If the evaluation by the Expert Panel supports the proposition that the Athlete has likely used a Prohibited Substance or Prohibited Method, and that the result unanimous opinion of "Likely doping" is highly unlikely due to any another cause, rendered by all three Experts, the APMU shall declare a "Likely doping" evaluation in the APMU report in ADAMS and proceed organize a conference call with the Expert pPanel to initiate the next steps for the case, including proceeding with the compilation of the ABP Documentation Package (see Technical Document for Athlete Passport Management Units) and drafting of the joint Expert report. In preparation for this conference call, with the compilation of the ABP Documentation Package. The APMU may confer with the Expert Panel to determineshould coordinate with the scope of such compilation, including the recommended elements and the number of tests that need to be included.~~

~~[Comment: It is only mandatory to have a full Laboratory Documentation Package for those tests that are deemed essential by the APMU and Expert Panel. The other tests, for example those that confirm the baseline levels of a Marker, only require a Certificate of Analysis. A template of the Certificate is available to Laboratories and WADA Approved Laboratories for the ABP upon request to WADA. The following key Passport Custodian to compile any potentially relevant information needs to be included in both Haematological and Steroidal Modules of the ABP Documentation Package:~~

- ~~a) — Age of the Athlete.~~
- ~~b) — Gender of the Athlete.~~
- ~~c) — Sport and discipline.~~

- d) ~~— Type of test (in competition or out of competition).~~
- e) ~~— Date of test.~~
- f) ~~— Sample code number.~~
- g) ~~— Internal Laboratory (or WADA Approved Laboratory for the ABP)~~
- h) Sample number.

~~Biological data and results obtained by the Adaptive Model.  
Competition to share with the Experts (e.g. suspicious analytical findings,  
relevant intelligence and relevant pathophysiological information).~~

~~Chain of Custody documentation:~~

- h) ~~— Information from the Doping Control forms for each Sample collected during the period, as determined by the APMU and Expert Panel.~~

~~For the Haematological Module, the following additional information is required:~~

- i) ~~— Information on possible exposure of the Athlete to altitude, or altitude simulating devices, for the period defined by the Expert Panel.~~
- j) ~~— Temperature profile during the transportation of the blood Sample and the Blood Stability Score (BSS).~~
- k) ~~— Laboratory (or WADA Approved Laboratory for the ABP) documentation, including blood results, scattergrams, and internal and external quality controls.~~
- l) ~~— Information on whether the Athlete received a blood transfusion and/or suffered significant blood loss in the prior three months.~~

~~For the Steroidal Module, this additional information is required:~~

- m) ~~— pH of the urine Sample.~~
- n) ~~— Specific gravity of the urine Sample.~~
- o) ~~— Laboratory documentation, including screening and confirmed (when applicable) values of steroid concentrations and ratios.~~
- p) ~~— GC-C IRMS results, when applicable.~~
- q) ~~— Indication of ethanol consumption: urinary concentrations of~~

- ~~ethanol and/or ethanol Metabolites.~~
- ~~r) Indication of bacterial activities, including 5 $\alpha$ -androstandione/A and/or 5 $\beta$ -androstandione/Etio-ratio.~~
- ~~s) Indication of medications taken (declared or detected) that may influence the "steroid profile", such as human chorionic gonadotrophin (hCG), ketoconazole, and 5 $\alpha$ -reductase inhibitors.~~

~~L.4.2 The Once completed, the ABP Documentation Package shall be sent by the APMU to the Expert Panel, which/who will review it and provide a joint evaluation/Expert report to be signed by all three Experts and included in the ABP Documentation Package. The conclusion within the joint Expert report shall be reached without interference from the Passport Custodian. If necessary, the Expert Panel may request complementary information from the APMU.~~

~~L.4.3 At this stage, the identity of the Athlete is not mentioned but it is accepted that specific information provided may allow to identify the Athlete. This shall not affect the validity of the process.~~

## **L.5 Issuing an Adverse Passport Finding (APF)**

~~L.5.1 If the Expert Panel confirms their previous/unanimous position, considering the information within the Passport at this stage, that it is likely that a Prohibited Substance or Prohibited Method had been used, and highly unlikely that it is the result of any other cause "Likely doping", the APMU will issue/shall declare an Adverse Passport Finding (APF).~~

~~L.5.1 The APF represents the end result in ADAMS that includes a written statement of the APF, the ABP Documentation Package and the joint Expert review of the longitudinal profile of Markers and other Passport information/report.~~

~~L.5.2 After reviewing the ABP Documentation Package, the ADO and joint Expert report, the Passport Custodian shall:~~

- ~~a) Notify the Athlete of the APF and inform WADA that the ADO Passport Custodian is considering the assertion of an anti-doping rule violation (ADRV) against the Athlete.~~
- ~~b) Provide the Athlete and WADA the ABP Documentation Package and the joint Expert report.~~
- ~~c) Invite the Athlete to provide his/her/their own explanation, in a timely manner, of the data provided to the ADO/Passport Custodian.~~

## **L.6 Review of Explanation from *Athlete* and Disciplinary Proceedings**

L.6.1 Upon receipt of any explanation and supporting information from the *Athlete*, which should be received within the specified deadline, the APMU shall forward it to the Expert Panel for review with any additional information that the Expert Panel considers necessary to render its opinion in coordination with both the ADOPassport Custodian and the APMU. At this stage, the review is no longer anonymous. The Expert Panel shall reassess or reassert the case and reach one of the following conclusions:

- a) ~~Unanimous opinion of “Likely doping” by the Experts that based on the information in the Passport, it is likely that and any explanation provided by the *Athlete*; used a Prohibited Substance or Prohibited Method, and that it is highly unlikely to find the Passport abnormal assuming any other cause; or~~
- b) Based on the available information, the Experts are unable to reach ~~the~~ unanimous opinion of “Likely doping” set forth above, ~~and, in such a case, the Expert Panel may or may not recommend further investigation or Testing.~~

*[Comment to L.6.1: Such a reassessment shall also take place when the *Athlete* does not provide any explanation.]*

L.6.2 If the Expert Panel expresses the opinion set forth in section L.6.1 a) then the ADOPassport Custodian shall be informed by the APMU and proceed to Results Management (*Code Article 7.5*)

L.6.3 If the Expert Panel expresses the opinion set forth in section L.6.1 b), the APMU shall update the APMU report and recommend the Passport Custodian to pursue additional *Testing* and/or gather intelligence on the *Athlete* (refer to Information Gathering and Intelligence Sharing Guidelines), as appropriate. The Passport Custodian shall notify the *Athlete* and *WADA* of the outcome of the review.

## **~~L.7~~ Disciplinary Proceeding**

~~If the Expert Panel expresses the opinion set forth in section 6.a., then the ADO shall be informed by the APMU and proceed to Results Management (*Code Article 7.5*).~~

## **~~L.8~~ L.7 Passport Re-setting**

L.7.1 In the event the *Athlete* has been found to have committed an ADRV based on the Passport, the *Athlete*'s Passport shall be reset by the Passport Custodian at the start of the relevant period of ~~suspension~~ Ineligibility and a

new Biological Passport ID shall be assigned in *ADAMS*. This maintains the Athlete's anonymity for potential APMU and Expert Panel reviews conducted in the future.

L.7.2 When an *Athlete* is found to have committed an ADRV on any basis other than the *ABP*, the Haematological and/or Steroidal Passport will remain in effect, except in those cases where the *Prohibited Substance* or *Prohibited Method* resulted in an alteration of the haematological or steroidal *Markers*, respectively (e.g. for *AAF* reported for anabolic androgenic steroids, ~~hCG, masking agents or diuretics,~~ which may affect *the Markers* of the steroid profile, or for the Use of ~~Erythropoiesis-Stimulating Agents-ESAs~~ or blood transfusions, which would alter the haematological *Markers*). The Passport Custodian shall consult with their APMU following an AAF to determine whether a Passport reset is warranted. In such instances, the *Athlete's* profile(s) would be reset from the time of the beginning of the sanction.