
Code Compliance Center User Guide

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1. Introduction

The Code Compliance Center (CCC) is an online tool that allows Anti-Doping Organizations (ADOs) to report on their compliance with the World Anti-Doping Code (Code). The CCC is where Code Compliance Questionnaires (CCQ), audits, continuous monitoring, Mandatory Information Requests (MIRs) and resulting Corrective Action Reports (CARs) will be issued, completed, and stored securely. The online system can be accessed anywhere so long as the user has an internet connection and is compatible with computers, tablets, and smartphones.

1.1 Code Compliance Questionnaire (CCQ)

The Code Compliance Questionnaire (“Questionnaire”) is a tool developed by WADA to measure compliance of ADOs to the mandatory requirements of the Code and International Standards. It was developed in collaboration with a number of ADOs and other organizations such as INADO, the Council of Europe, and UNESCO. The Questionnaire is issued via the CCC to assist ADOs in providing responses and data to a series of questions. There are two main versions of the Questionnaire – one for International Federations (IFs) and National Anti-Doping Organization (NADOs), and one for Major Event Organizations (MEOs). In both versions the questions have been categorized into 6 sections, namely, 1. General; 2. Testing and Investigations; 3. Results Management; 4. Therapeutic Use Exemptions (TUE); 5. Education; and 6. Privacy. There is also a short seventh section for ADOs to provide their feedback on the CCQ.

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

1.1.1 International Federation (IF) and National Anti-Doping Organization (NADO) CCQ

ADOs have 3 months to complete and submit the Questionnaire and are required to answer questions based upon their anti-doping programs for the calendar year (January – December) of the requested ‘reporting period’. The reporting period is usually the previous year to when the Questionnaire is issued, so for example if an IF or NADO receives a Questionnaire in 2022 the ADO would be reporting on their 2021 anti-doping program. The reporting period is always defined in the Questionnaire. This version of the Questionnaire is available in English or French and users can switch between the two languages as required (see section 6.6 for more information).

1.1.2 Major Event Organization (MEO) CCQ

MEOs have 2 months to complete the Questionnaire and are required to answer questions based upon an upcoming Event. Usually they will be provided the Questionnaire at least 6 months in advance of the Event so that they can answer the Questionnaire and implement any corrective actions prior to the Event. The Independent Observer (IO) program (if in attendance at the Event) will then validate whether the corrective actions have been implemented in practice.

2. Registration

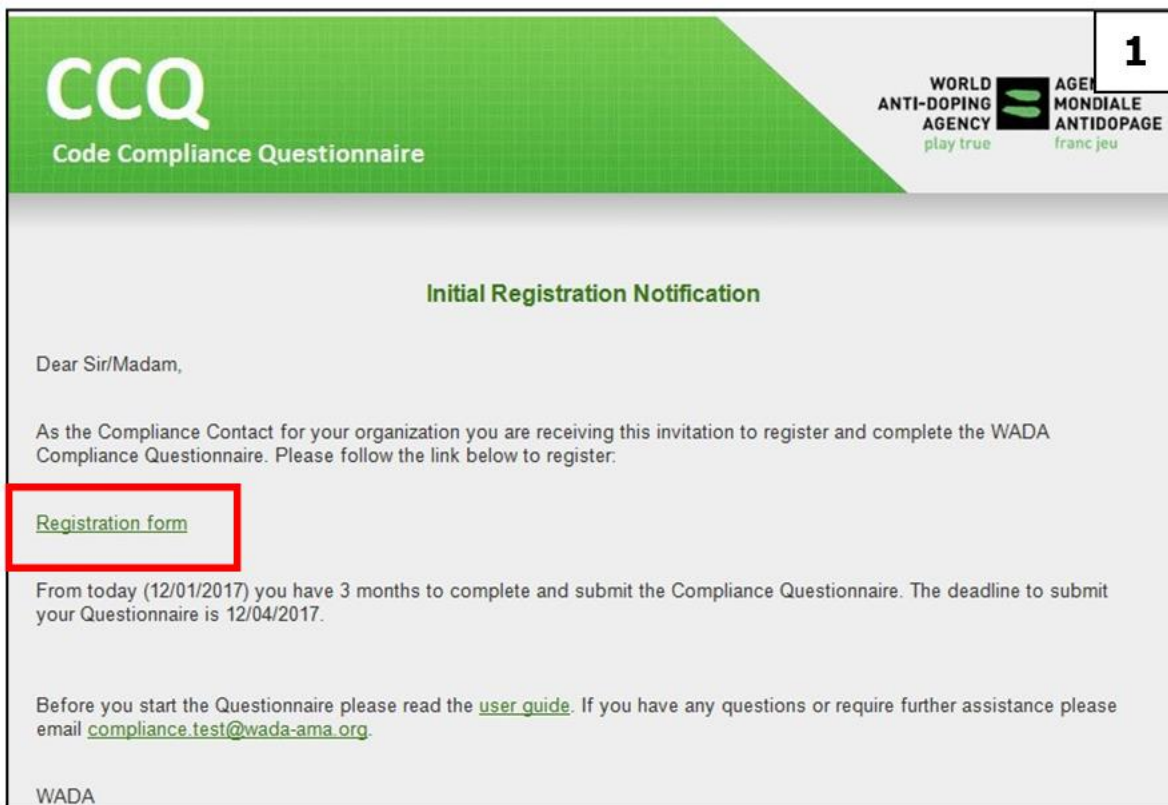
2.1 The role of the Compliance Contact

WADA, together with each ADO, has established an individual who will act as a **Compliance Contact**. The Compliance Contact is WADA's main point of contact for all business involving the CCC, including the Questionnaire.

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

2.2 Registering users

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



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

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



Organization registration (Anti-Doping Authority Netherlands) **2**

Title *

First name *

Last name *

Email

Phone number

User name *

Password *

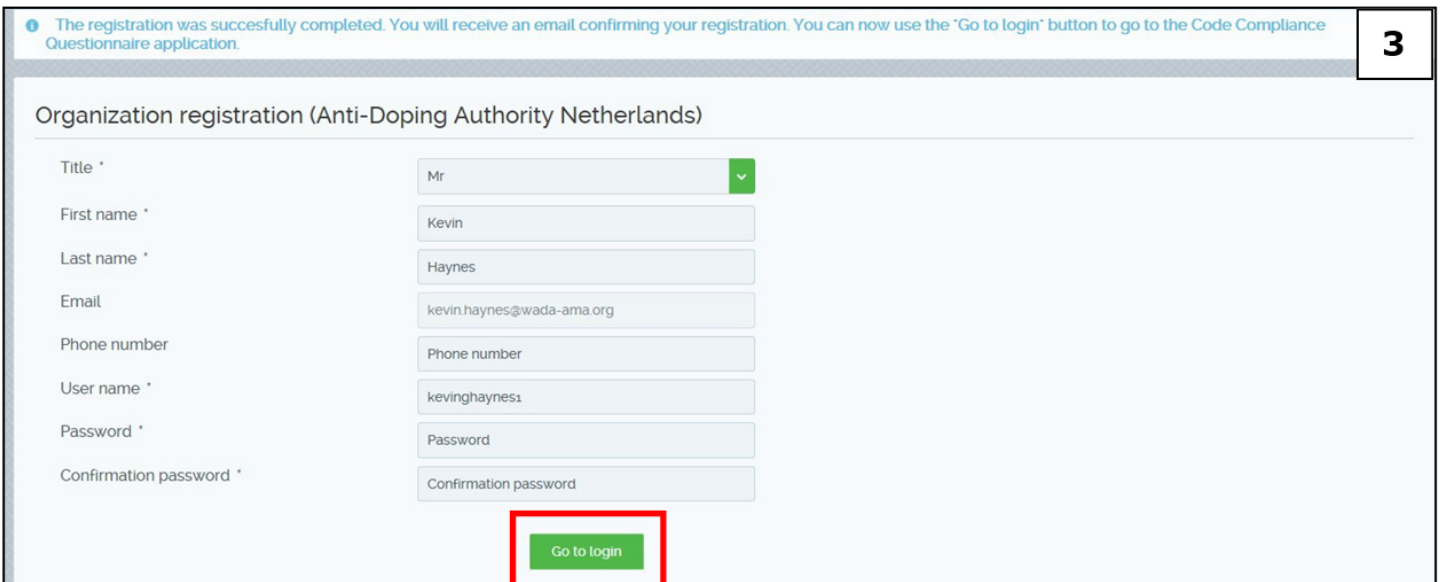
Confirmation password *

Captcha *

Register

If the details are accepted a message will appear confirming that the registration was completed successfully and the 'Go to Login' button will also appear (see screenshot 3 below). An email will also be sent to the Compliance Contact confirming that the registration was successful.

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



3

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

Organization registration (Anti-Doping Authority Netherlands)

Title *

First name *

Last name *

Email

Phone number

User name *

Password *

Confirmation password *

Go to login

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

Welcome to the WADA Compliance Questionnaire

4

Thank you for registering with the WADA Compliance Questionnaire application.

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

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

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

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

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2.3 Reminders to register and complete the Questionnaire

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

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

2.4 Forgot password

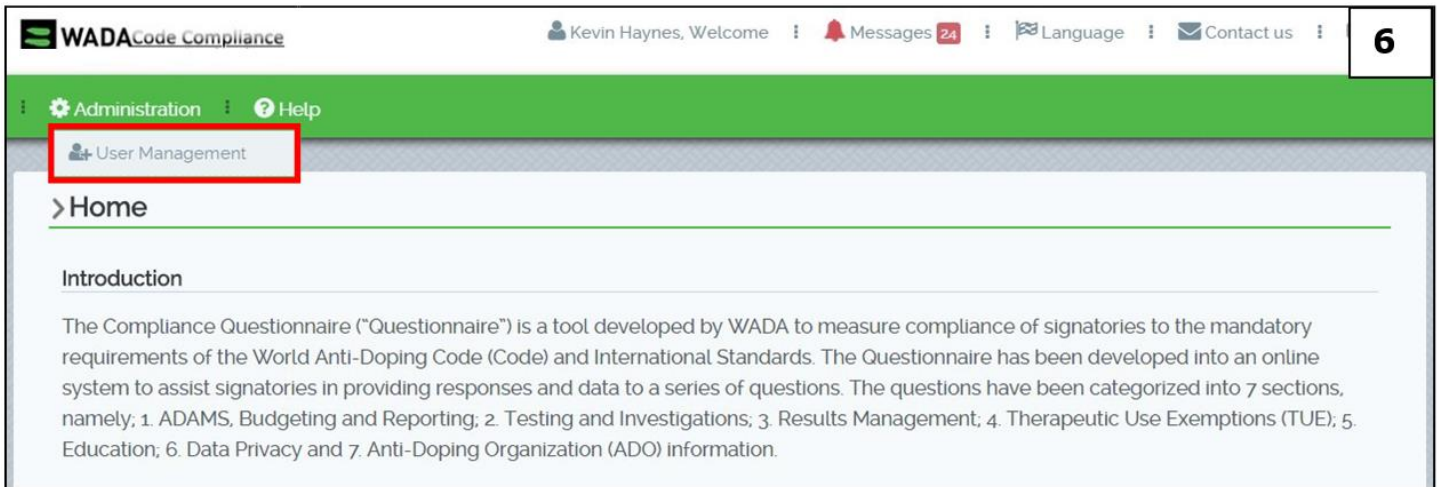
If any user forgets their password they can select a new password by clicking on the **Forgot password?** button on the log in page (see screenshot 5 above).

3. User accounts

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

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

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

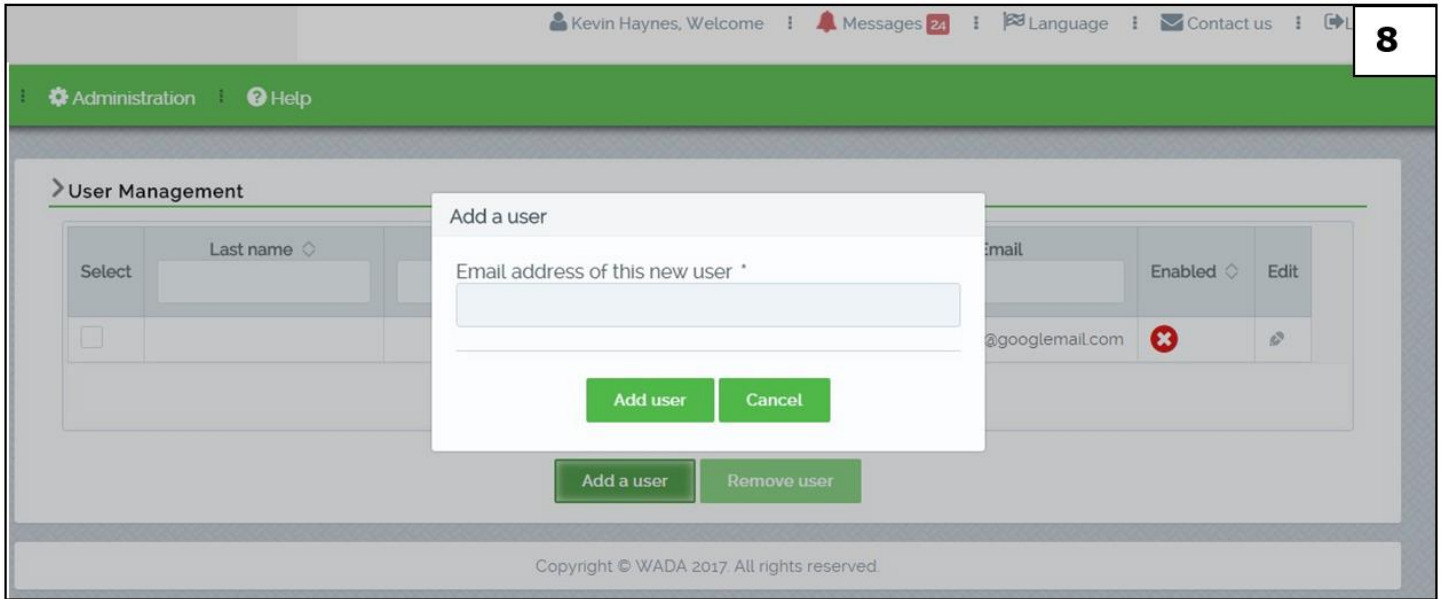


Once completed the following page appears (see screenshot 7 below). The Compliance Contact then clicks on the **Add a user** button and enters the email address of the new user and confirms by clicking **Add user** in the pop-up box which will appear (see screenshot 8).



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

The Compliance Contact can create as many accounts for their organization as required, and can also remove them (if for example a user leaves the organization). It is important for the Compliance Contact to maintain an up-to-date list of user accounts for their organization.



4. Completing the Questionnaire

Each time a user logs into the system they will be taken to the home page (see screenshot 9 below).

The home page contains an introduction to the Questionnaire, a link to this user guide, and a legal statement. The home page also contains the overall Questionnaire completion percentage which alerts the user to the progress status of the ADO.

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

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Introduction


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

[Compliance Questionnaire User Guide](#)

Legal statement

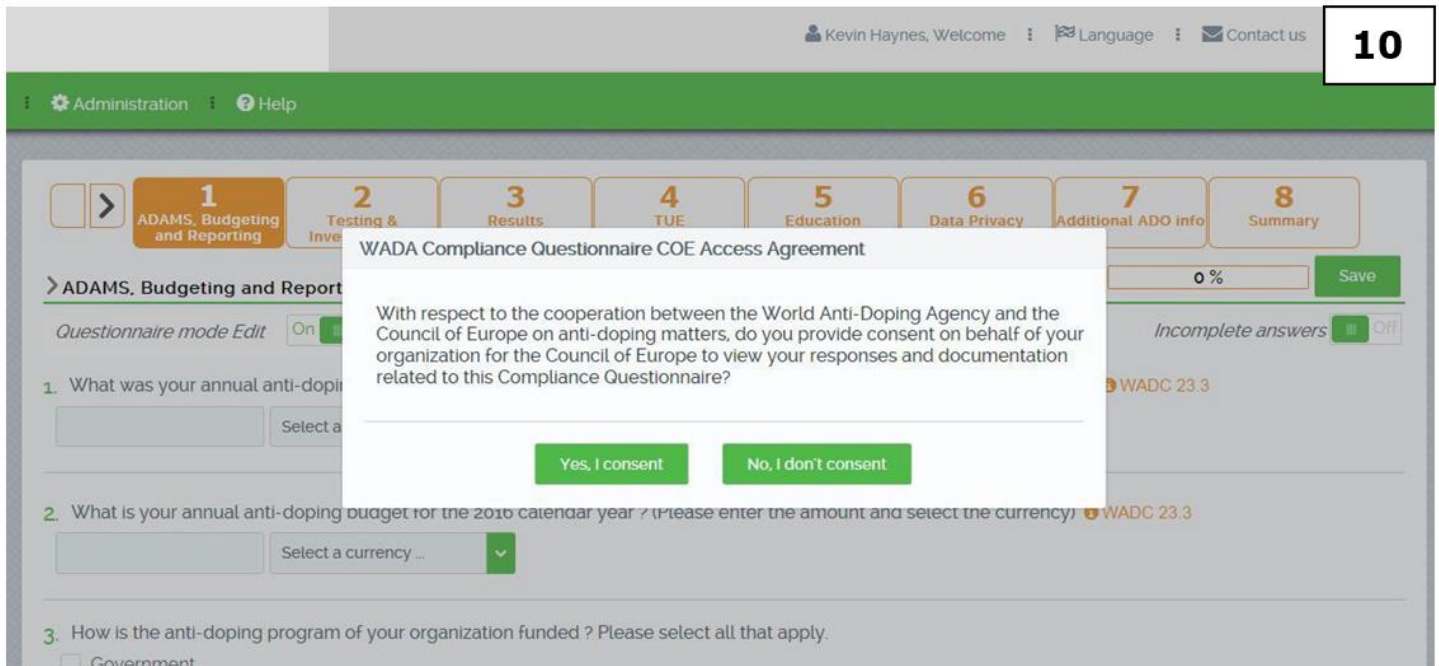
This questionnaire is about the practices of your Anti-Doping Organization (ADO). WADA is not seeking detailed information on any specific individual athlete or case. To the extent you provide personal data to us, such as your contact details, we will use this data only for the purpose of analyzing questionnaire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

Questionnaire completion 0 %


Open questionnaire

4.1 Council of Europe consent to share data

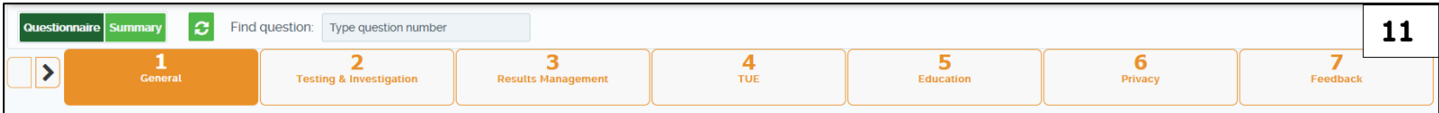
The first time a user from a **European** NADO accesses the Questionnaire a pop-up box will appear requesting consent to share data contained in their Questionnaire submission with the Council of Europe (see screenshot 10 below). The user can select either yes or no according to their preference. **Note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



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4.2 Opening and completing a Questionnaire

After clicking on **Open Questionnaire** the user will be taken to section 1 of the Questionnaire; General (see screenshot 11 below).

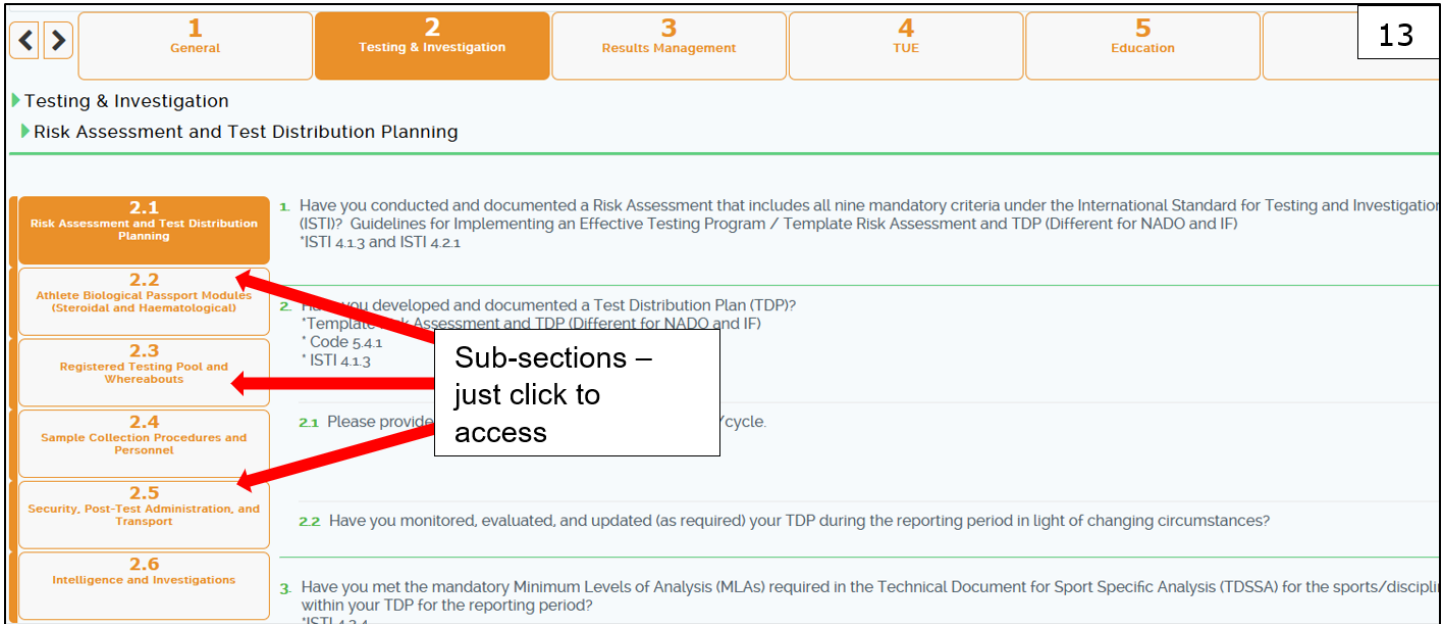


11

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

The user can decide which sections to complete and in what order by selecting the sections numbered 1 to 7 across the top of the Questionnaire (see screenshot 11 above).

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



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



The Questionnaire is dynamic in nature and an ADO is only required to answer questions specific to their anti-doping program. For example, if an ADO does not act as a Sample Collection Authority (SCA), once they tick **no** to question 30 in the Testing and Investigations section they will not see any more questions relating to SCAs. Due to this specificity the time taken to complete the Questionnaire will vary considerably between ADOs.

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

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

Alternatively, if the user answers yes to question 1, they are then required to answer questions 1.1 and 1.2 (see screenshot 16 below).

On a similar note, there are some questions specific to either IFs or NADOs. For example, in the General section, questions 16-24 are a requirement for NADOs only, and IFs **will not** see these questions in their Questionnaire.

4.3 Regularly saving your work

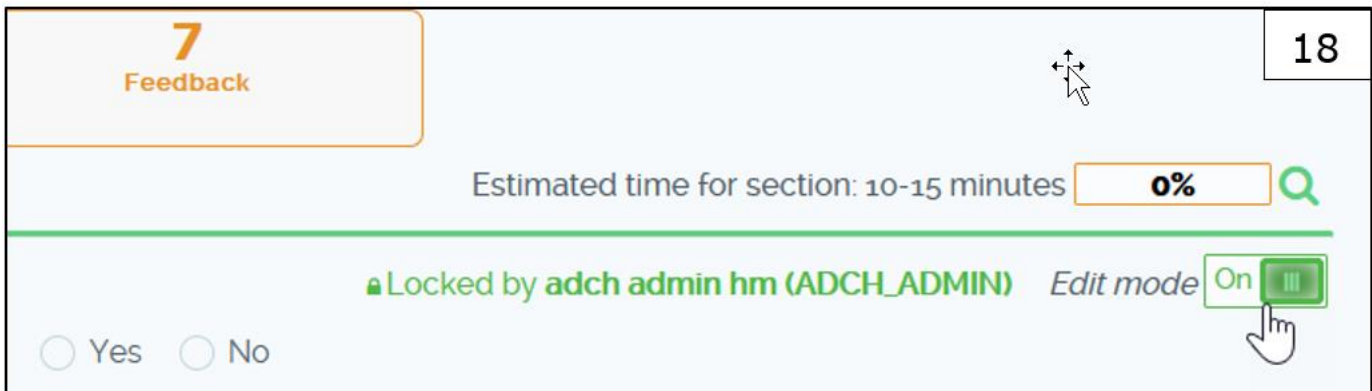
Users are encouraged to save their work as they progress through the Questionnaire. This can be done by selecting **Save** either at the top of the page or at the end of each section (see screenshot 17 below). Pressing save also updates the progress bar and the overall summary in the “Summary” tab (see Section 6.2 below).

4.4 Editing lock feature

To prevent multiple users from the same ADO editing the same section of the Questionnaire and risk one user's work not saving as a result, an editing lock feature has been built into the system. Once a user accesses a section of the Questionnaire and wishes to answer the questions, they must first turn on the **Edit mode** using the slider on the top right of the page. If the Edit mode is off the user cannot answer any questions. Once Edit mode is on, the section is automatically locked to prevent another user editing. A user will see their name in green text next to the Questionnaire mode Edit function (see the screenshot 18 below).

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

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



5. Different types of question

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

5.1 Yes/No/Not applicable

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


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

5.2 Multiple choice/single choice

Another type of question is multiple or single choice from a list of options. In these types of questions the user can either select a number of options presented (multiple choice) to best describe their response, or a single choice from a number of options. Multiple choice questions can be identified by having squares rather than circles to click on.

5.2.1 Multiple choice

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

6. How do you provide anti-doping information? Please select all that apply.  WADC 18.2 20

- Presentations - Face to Face
- E-learning
- Webinars
- Print Literature (distributed to target groups during face to face contact)
- Print Literature (mailed to target group)
- Website
- Social Media (i.e. Facebook, Twitter, Instagram, etc.)
- Mobile Applications (Apps)
- Other

5.2.2 Single choice

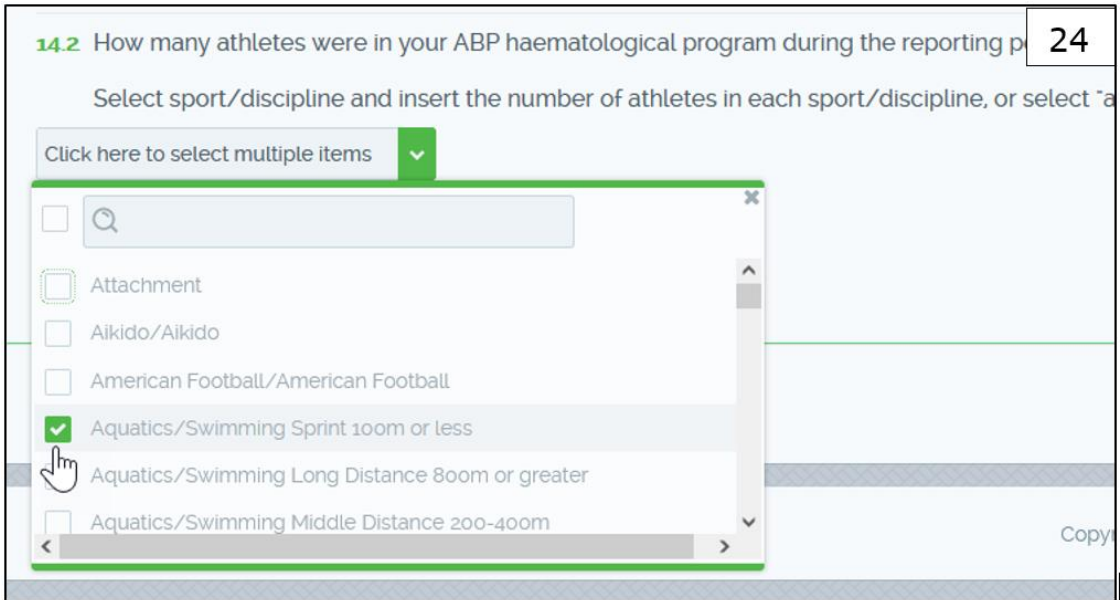
Single choice questions appear in a similar way to yes/no questions (see screenshot 21 below).

7. Have you used or embedded WADA's Athlete Pathway model/framework or an equivalent athlete/player pathway model into your education program? *REF 21

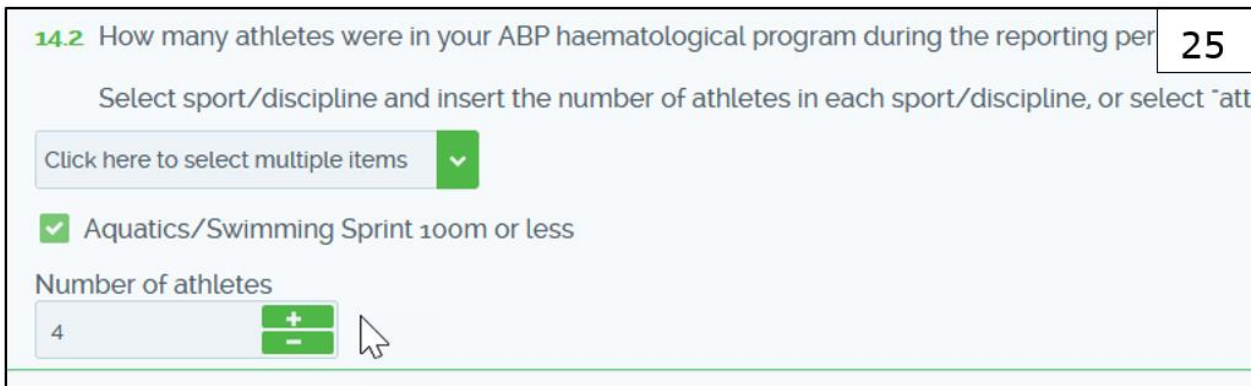
- Yes, WADA model
- Yes, equivalent model
- No, no model

5.3 Pick list

For some questions (e.g. 14.2 of the Testing and Investigations section) a user is required to select from a pick list in order to populate a table where relevant information can be provided. In this example the user needs to select a sport and discipline prior to providing additional information. These are selected by clicking on the green box with the white down facing arrow (**Click here to select multiple items** in screenshot 24). The user can use the search box or scroll down to find the relevant sport/discipline.



Once a sport/discipline (e.g. Aquatics/Swimming Sprint 100m or less) has been selected, a new box appears so the user can then add additional information as requested. The user can select as many sport/disciplines as required by repeating the steps above. If the user needs to remove a sport/discipline for whatever reason they can unselect it from the pick list.



5.4 Uploading documents

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

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

1. Have you conducted a full risk assessment as outlined in Article 4.2 of the International Standard for Testing & Investigations (ISTI) for the sports/disciplines within your jurisdiction? Yes No **26**

ISTI 4.2.1

1.1 Please submit your risk assessment.



+ Attach

No documents.

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

1.1 Please submit your risk assessment. **27**

+ Attach

Risk assessment.docx  

5.5 Free text boxes

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

5.6 Entering numerical data

Some questions require a number to be entered as a response. Users should type the number directly into the number box and if they need to adjust the number, use the +/- buttons (see screenshot 28 below). For some questions where the number required is a percentage (e.g. questions 3 and 4 of the General section), the responses must add up to 100%, or the question will be considered incomplete.

4. What percentage of your annual anti-doping budget is put towards the following anti-doping program? 28

Testing (including equipment, transportation, Sample Collection Personnel (SCP) fees)

%

+
-

Sample analysis (including Technical Document for Sport Specific Analysis, Athlete Passport Management)

Information, intelligence gathering and investigations

Results Management/Legal

Education

Therapeutic Use Exemptions (TUEs)

Other, please specify (e.g., remuneration, administration)

Some questions that require a number as a response do not have the +/- buttons. This means the number must be typed directly, but does allow you to enter fractions if needed (e.g. 1.5). Question 5 in the General section is an example of this (see Screenshot 29 below).

5.1 Please provide information on the people working daily on your anti-doping program. 29

Please outline below how many staff are dedicated to the coordination and management of your anti-doping programs.

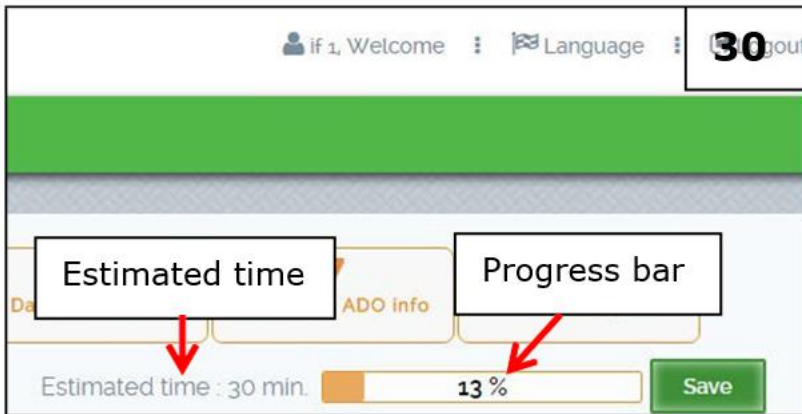
| | Full time |
|---------------------------------|----------------------------------|
| Testing | <input type="text" value="1"/> |
| Intelligence and Investigations | <input type="text" value="0.5"/> |
| Results management | <input type="text" value="1"/> |
| TUEs | <input type="text" value="0.5"/> |
| Education | <input type="text" value="1.5"/> |
| Other (Executive, Admin) | <input type="text" value="2"/> |

6. Other features

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

6.1 Progress bar and estimated time guide

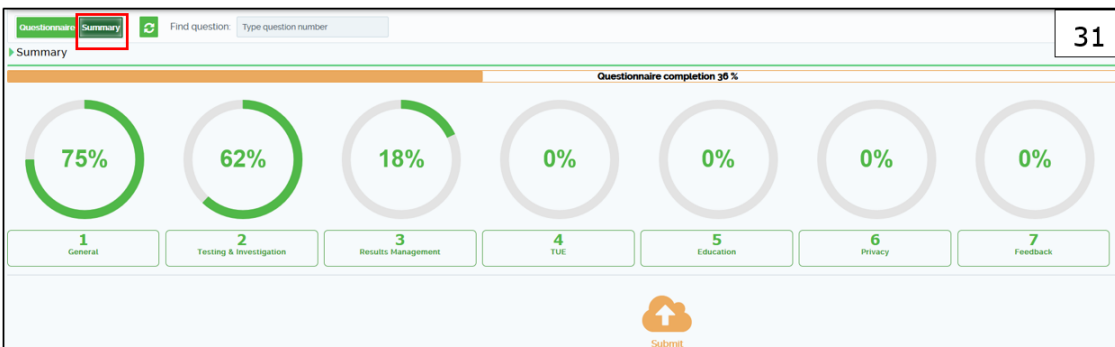
In the top right corner of the Questionnaire (see screenshot 30 below) a progress bar shows the user how far they have advanced through a section, and, if applicable, a sub-section.



The bars are updated every time a user clicks **Save**. Users should note that because the Questionnaire is dynamic and more or fewer questions may appear based on their responses, the progress bar percentage may reduce, even if the user is advancing through a section of the Questionnaire. In addition, an estimated time (or range) to complete a section or sub-section is also available to allow users to plan their time accordingly. This range is static and is based on trial users' experience.

6.2 Summary page

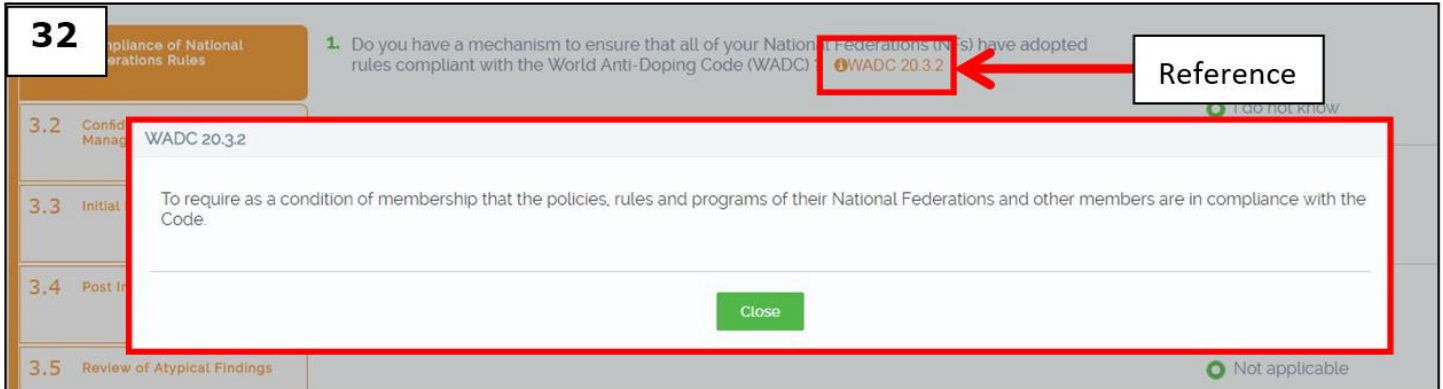
A **Summary** page is available, via the **Summary** tab (see screenshot 31 below) to show the ADO's progress towards completing the Questionnaire. The overall progress bar and section progress circles reflect the last time the Questionnaire was saved (see screenshot 31 below). This is a visual tool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



6.3 Code and International Standard references

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

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



6.4 Definitions and useful links

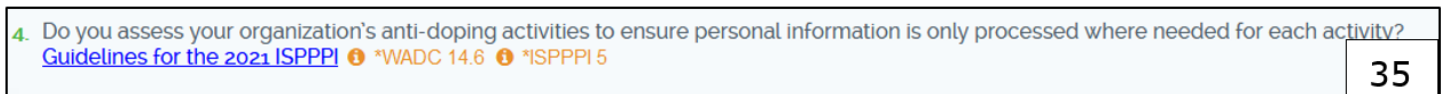
Where a word is used in a question that requires further explanation a link is provided. Definitions can be identified where the defined word is underlined and can be accessed by selecting the highlighted blue word at the end of the question (see screenshot 33 below).



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

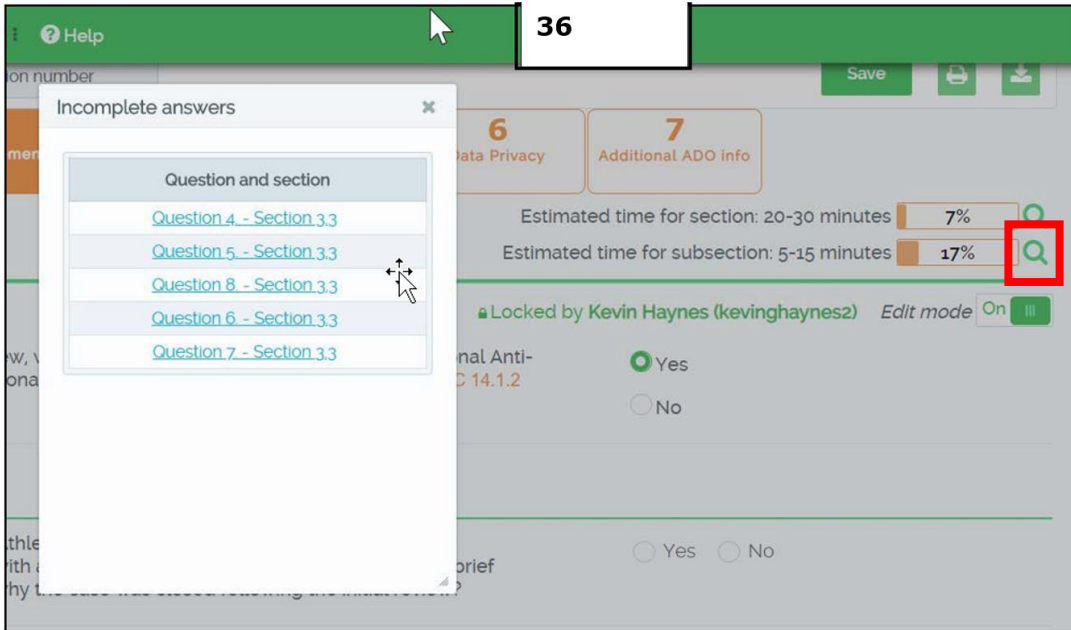


In a similar way, further information or guidance to a question is available where there is blue underlined text after a question (see screenshot 35 below). Again, this can be selected and will direct the user to a document or website which can assist the ADO answer the question.



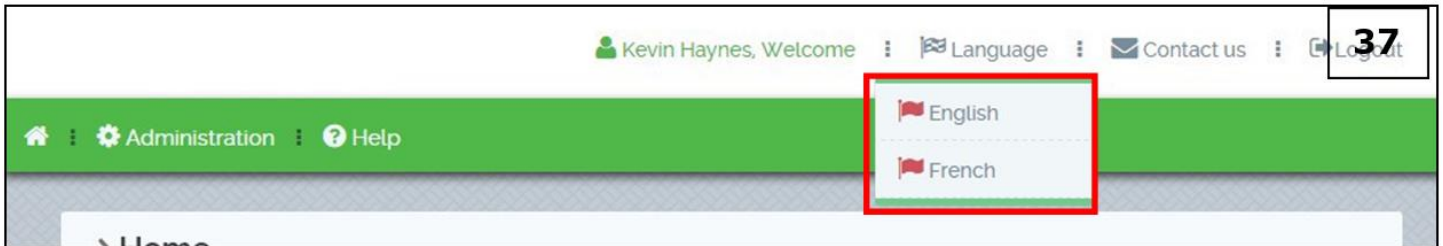
6.5 Incomplete answer finder

A feature to allow users to identify questions that have not been completed has also been included. If the user sees that they are not at 100% complete for a section or sub-section but believe they have completed all questions, they can click on the magnifying glass icon next to the progress bar (see screenshot 36 below). This will then list all questions which have not yet been completed. By clicking on one of the questions listed in the pop up box, the user will be taken directly to that question in the section.



6.6 Language

The final feature designed to assist ADOs is the availability of the Questionnaire in both English and French. Users can select the language option on the top of the page (see screenshot 37 below) and select either English or French. Users can choose to switch between the two languages at any time. However, the language the Questionnaire is submitted in will be the language used for the review and CAR.



7. Submitting a completed Questionnaire

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

Prior to pressing the submit button, which can be found on the **Summary** page (see screenshot 31 above), the Compliance Contact should ensure they are satisfied with the responses provided across the Questionnaire and conduct a final review.

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

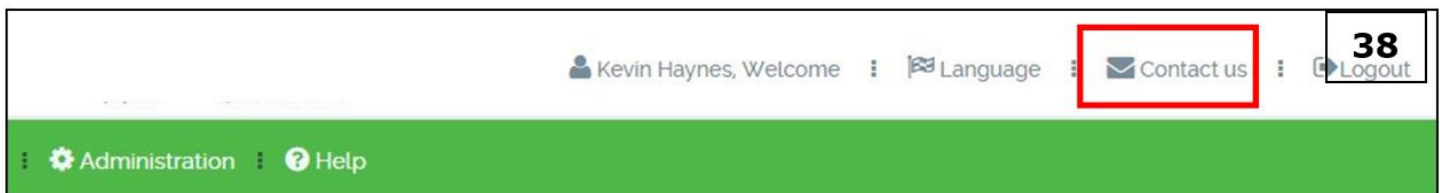
Should an ADO demonstrate the need to amend an answer to a question or questions after it has been submitted the account can be re-accessed only in exceptional circumstances. An ADO would need to send an email to compliance@wada-ama.org and clearly state the reason for amending an answer and the specific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

8. Follow-up and Corrective Action

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

9. Support

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



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

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



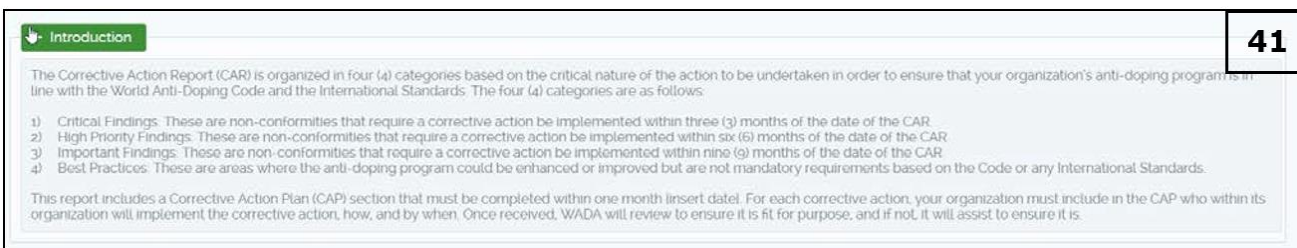
The user will then be taken to the CAP where they can review all the corrective actions. On the header the user will see a summary of corrective actions by category; Critical, High Priority and General (previously Important), including the number of actions and the deadline date (see screenshot 40 below).



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

10.1 Corrective Actions

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



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

- The section or sub-section order, i.e. General first, Testing and Investigations second etc.
- The category of the non-compliance, i.e. Critical, High Priority and General.

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

10.2 Viewing Corrective Actions

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

The screenshot displays the 'Testing & Investigations - Risk Assessment and Test Distribution Planning (TDP)' section. At the top, there are six numbered tabs: 1. ADAMS, Budget & Report; 2. Testing & Investigations; 3. Results Management; 4. TUE; 5. Education; 6. Data Privacy. Below the tabs is a filter bar with checkboxes for 'View questions', 'Critical', 'High Priority', 'Important', 'Completed', and 'Uncompleted'. A red box highlights this filter bar, with a 'C' label pointing to the 'Edit mode On' button. To the right of the filter bar is a 'Column view' button, also highlighted with a red box and labeled 'B'. The main content area shows a question (D) about risk assessment, a response 'No' (E), a corrective action (F), and a corrective action plan (G). The corrective action plan includes a text box for implementation details and buttons for 'Add a Reference Hyperlink' and 'Add a Reference File'.

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

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

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

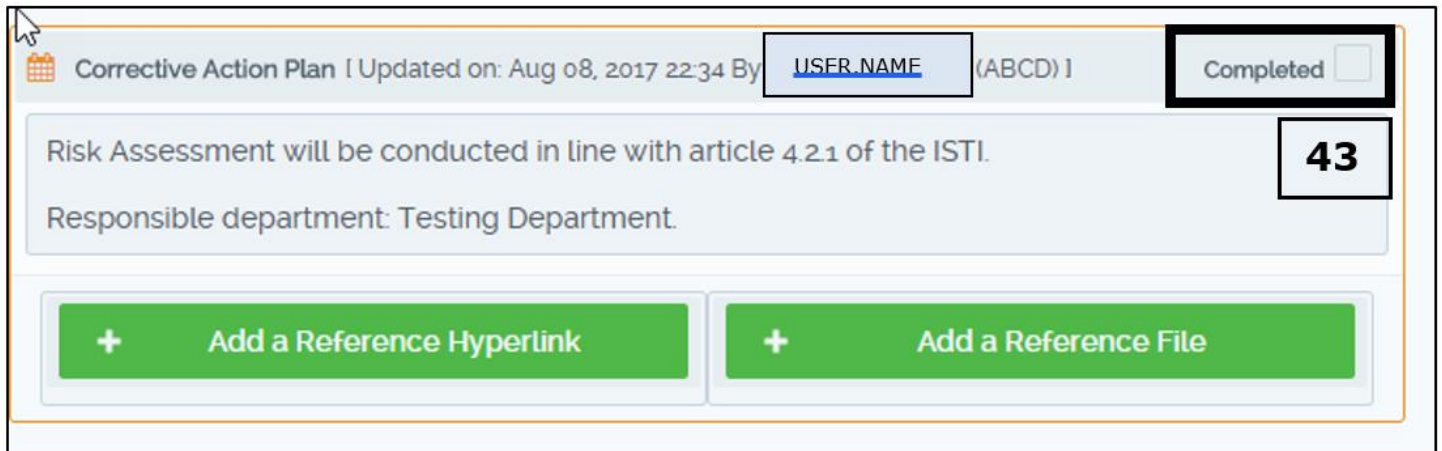
The only section that can be amended by a user is the corrective action plan free text box.

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

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

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

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



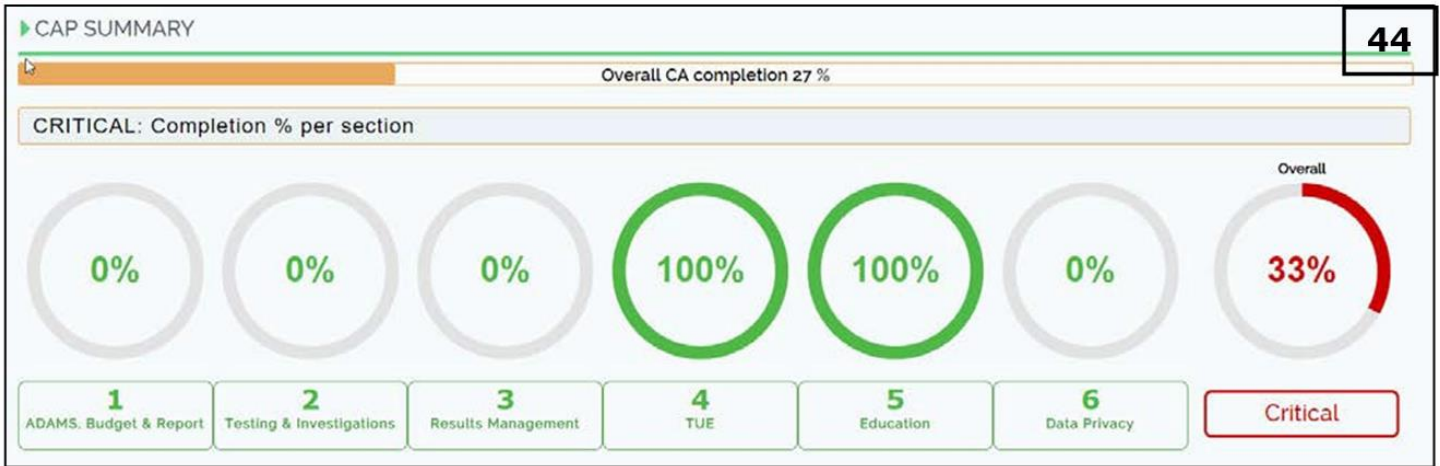
Once the ADO believes they have completed the corrective action they can tick the 'Completed' button (see screenshot 43 above). Note that the 'Completed' button can only be ticked if there is text in the CAP text box.

10.3 Best Practices

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

10.4 Summary

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



10.5 Downloading and printing a CAP

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

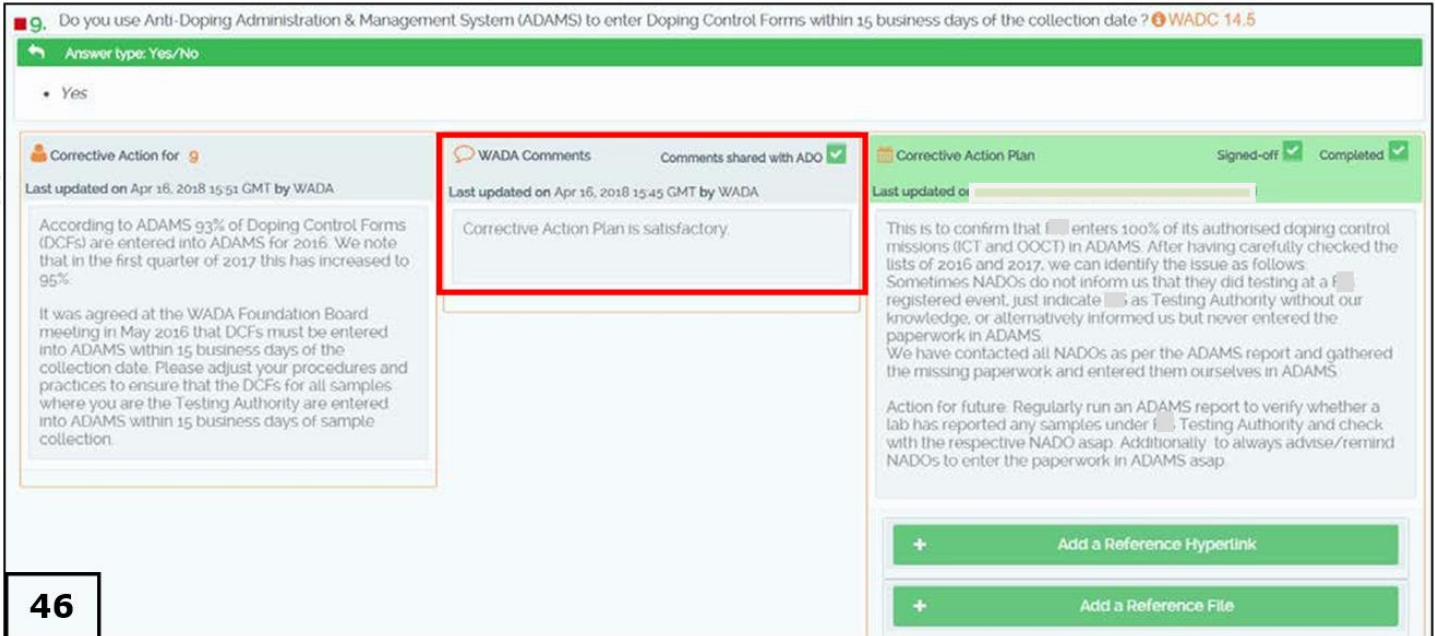
B CAR submitted on Aug 08, 2017 21:54 by WADA
Last updated on Aug 08, 2017 22:34 by WADA

45 **A**

11. CAP “WADA comments” and Sign Off

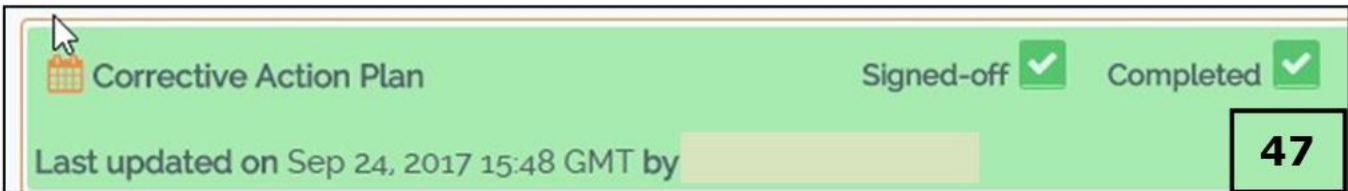
11.1 WADA Comments in the CAP

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



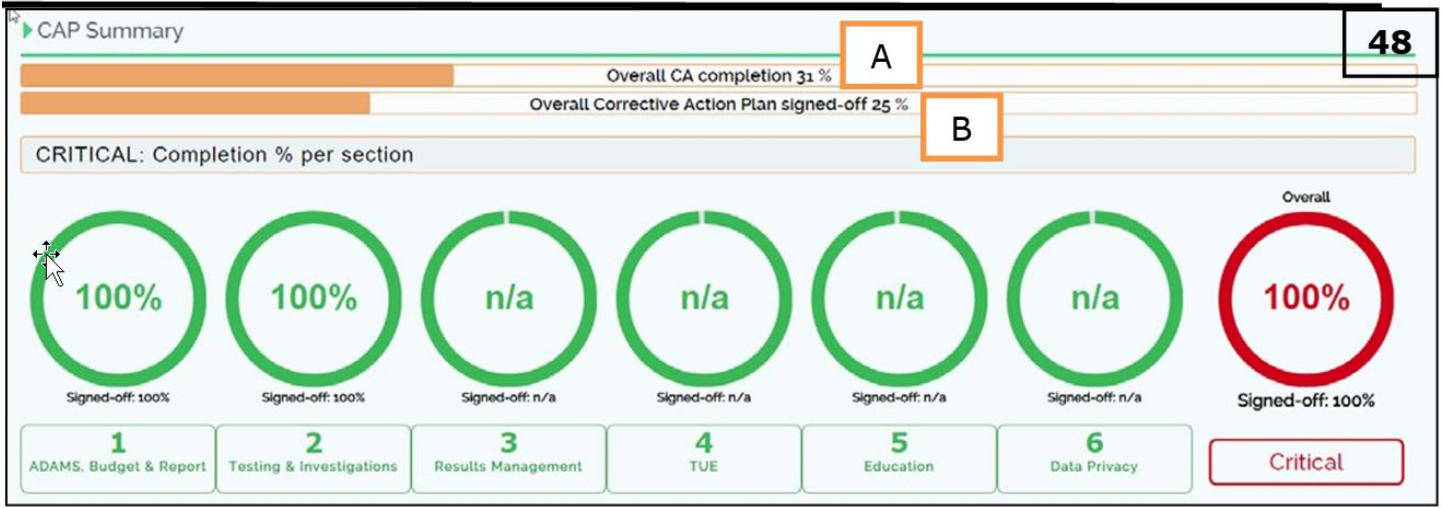
11.2 CAP Sign Off

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



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

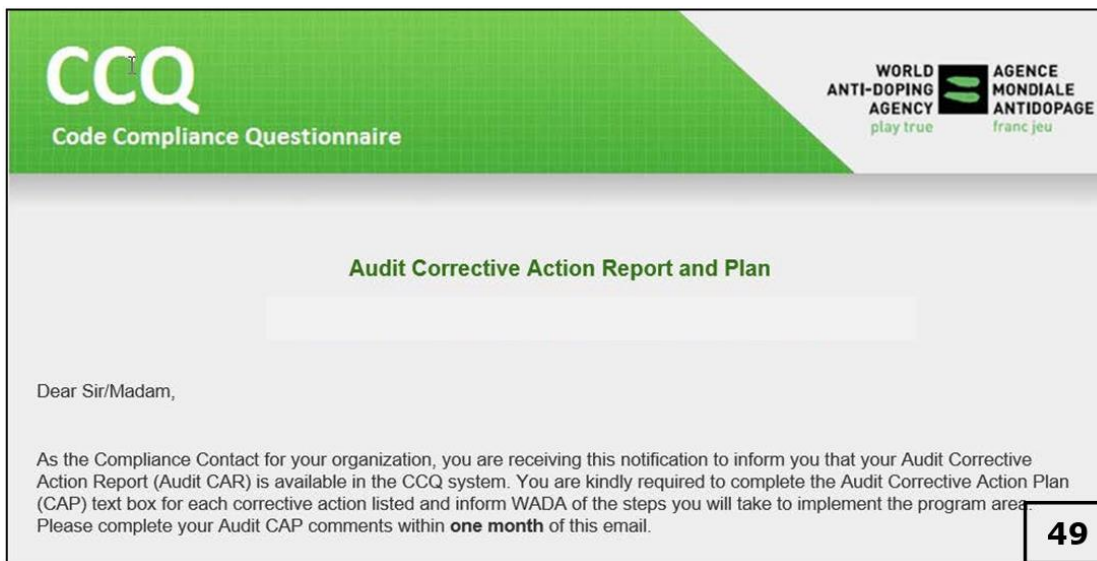
In the Summary section, the ADO can see their CAP summary completion percentage, both for CAPs the ADO has marked as “Completed” (A) and CAPs WADA has “Signed off” (B). See below in screenshot 48.



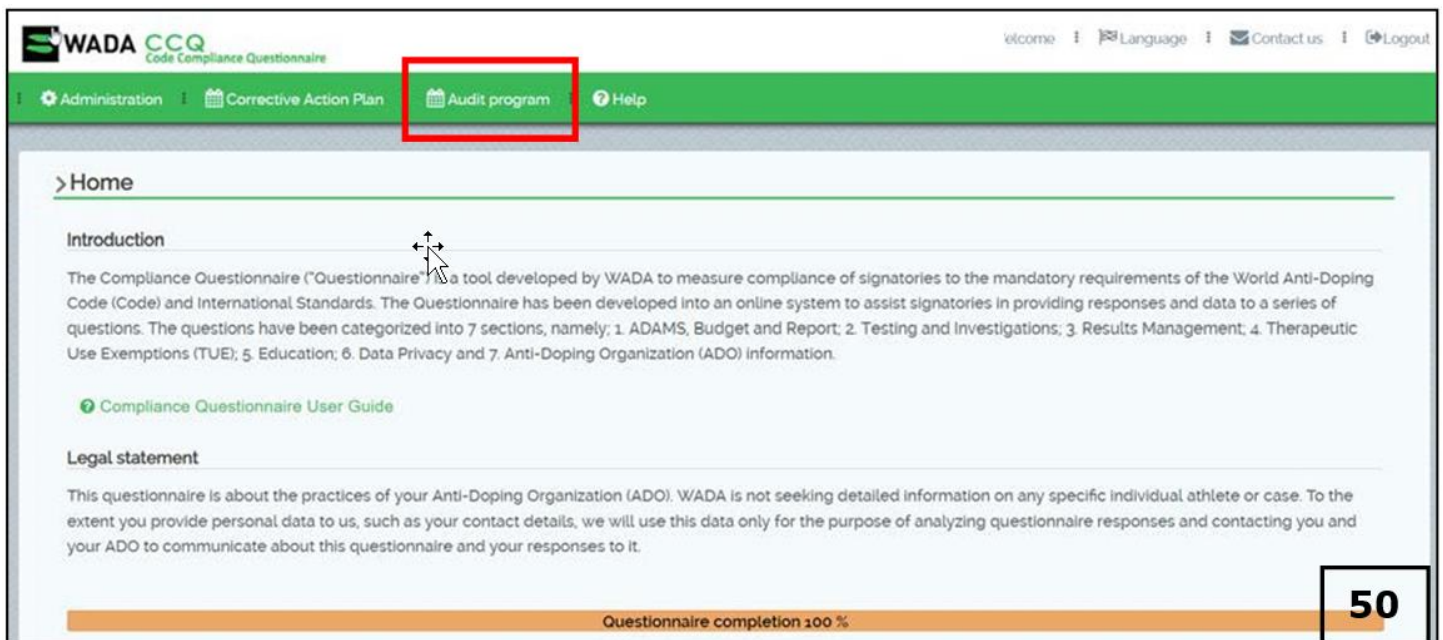
12. Audit Program

12.1 Audit CAR in the CCC

Following an Audit of an ADO, the CAR will be submitted to the ADO through the CCQ system. When a CAR is submitted the Compliance Contact will receive an email notification (see screenshot 49 below). This notification will be accompanied by a letter issued to the ADO's senior management team by WADA's Compliance Unit.



When the ADO logs into CCQ they will be able to access the CAR by selecting the **Audit Program** button (see screenshot 50 below).



The ADO will then access the CAR and see the **Audit Details** page. This page contains all the background information to the Audit (see screenshot 51).

The next tab is titled **Introduction** and provides a brief overview of the Audit. There is no action to take from the ADO on the Audit details or Introduction section.

12.2 Completing the Audit CAP

In the **Findings and Corrective Actions (CAs)** section, Findings and Corrective Actions are listed for each section and sub-section e.g. Testing and Investigations, Results Management etc. The user can clearly see in which section or sub-section a Finding and Corrective Action has been recorded (see screenshot 52 below).

For the Testing and Investigations and Result Management sections, the Findings and Corrective Actions can be identified for each sub-section (see screenshot 53).

| | |
|-----|--|
| 2.1 | Risk Assessment and Test Distribution Planning (TDP) |
| 2.2 | Blood Testing |
| 2.3 | Athlete Biological Passport (ABP) modules |
| 2.4 | Registered Testing Pool (RTP) and Whereabouts |
| 2.5 | Notification, Preparing and Conducting the Sample Collection |
| 2.6 | Sample Collection Personnel (SCP) Training & Accreditation |
| 2.7 | Security & Post Test Administration |
| 2.8 | Intelligence and Investigation |

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The ADO is requested to complete the CAP box and respond to each Finding and Corrective Action, initially within one month of the CAP being received, to identify the planned corrective action the ADO will take to remedy the issue. Once the corrective action has been implemented, more details including documentation can be provided in CCQ for the Audit team to review. Once the ADO believes they have completed the CAP for each finding they can mark the CAP box as “Completed” (see screenshot 54 on page 31).

Finding
54

XXX has not conducted a Risk Assessment that meets all relevant and minimum requirements as outlined in International Standard for Testing and Investigations (ISTI) Article 4.2.1.

Corrective Action for H.2.11 Last updated on Oct 17, 2018 20:51 GMT by WADA Auditor

Corrective Action Plan Signed-off Completed

XXX will complete the Risk Assessment following a meeting of the anti-doping working group.

Please find the Risk Assessment attached as a reference file.

+ Add a Reference Hyperlink

+ Add a Reference File

Reference Files

Risk Assessment Template EN.xlsx 📄 ✕

If the WADA Audit team have any feedback on the CAP this will be provided in the **Dialogue** section. The ADO can also make comments in this section, either in response to a WADA Auditor comment or otherwise. See screenshot 55 below.

Dialogue between WADA Auditor and ADO Last updated on Oct 26, 2018 19:12 GMT by

+ Add comment

ADO comment 1 created on Oct 26, 2018 19:12 GMT by

Thank you for your feedback we have uploaded an updated Risk Assessment for your review

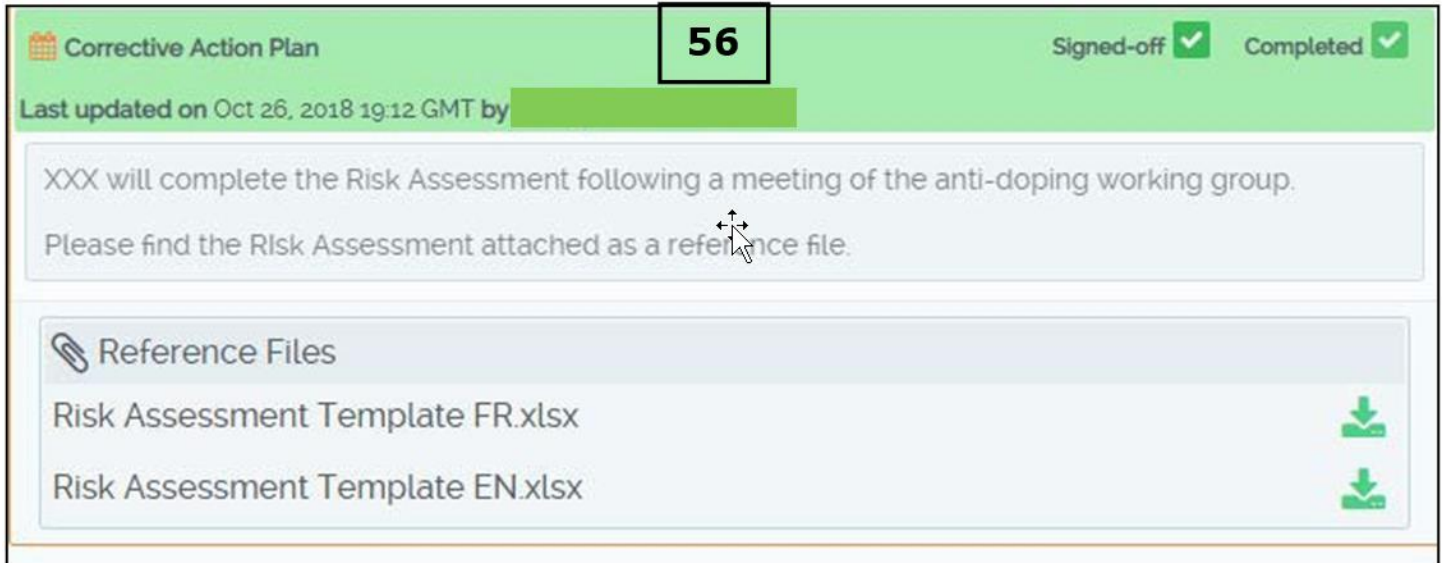
WADA Auditor comment 1 created on Oct 26, 2018 19:10 GMT by WADA Auditor

Thank you for providing your Risk Assessment. In accordance with Article 4.2.1 of the ISTI the following requirements are still not included

xxxxxxxxxxxx
 xxxxxxxxxxxx
 xxxxxx
 xxxxxx

55

When the Audit team is satisfied that the CAP is complete, they will select 'sign off' and the CAP for this finding will no longer be editable (see screenshot 56 below). It will also update the **Summary** tab and the dashboard to reflect the change in status.




Corrective Action Plan 56 Signed-off Completed

Last updated on Oct 26, 2018 19:12 GMT by [redacted]

XXX will complete the Risk Assessment following a meeting of the anti-doping working group.
Please find the Risk Assessment attached as a reference file.

Reference Files

- Risk Assessment Template FR.xlsx 
- Risk Assessment Template EN.xlsx 