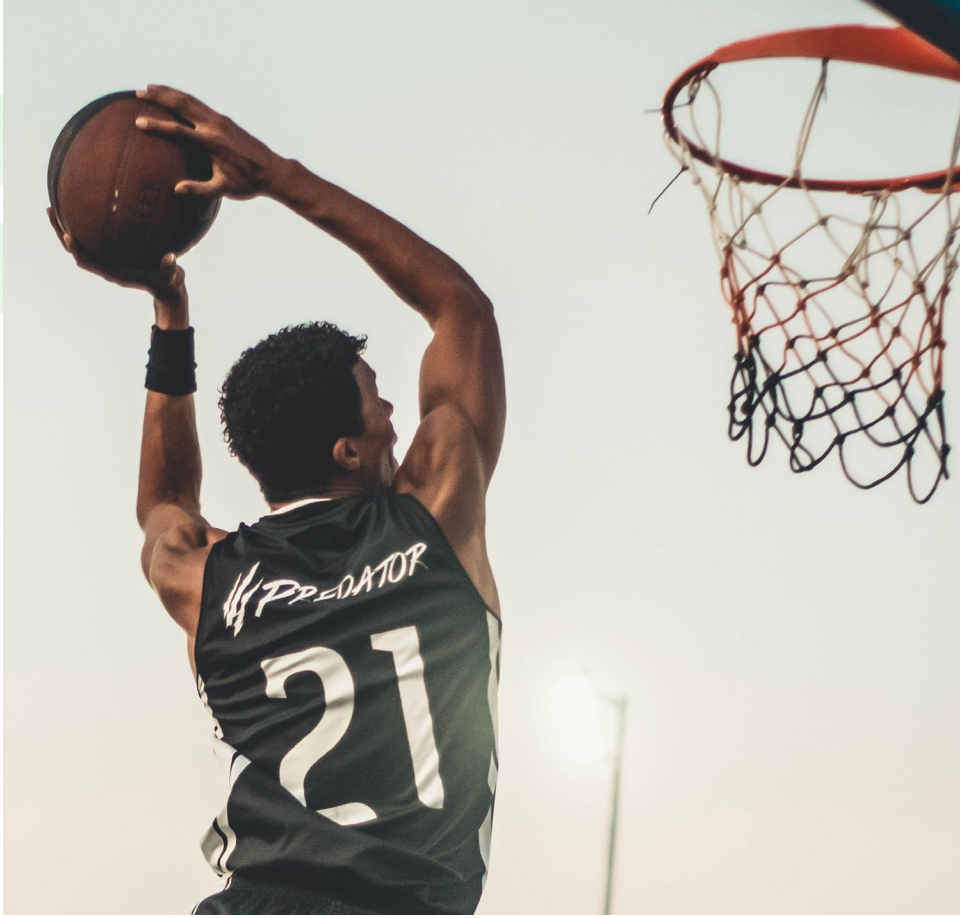
DEVELOPING THE CAPABILITIES OF ANTI-DOPING PROFESSIONALS

GLDF CLEAN SPORT



Compliance Coordinator

Professional standard

August 2024

GLDF | **G**lobal **L**earning and **D**evelopment **F**ramework

The professional standard aims to support the anti-doping industry by providing a benchmark of competence for a specific role. Anti-Doping Organizations (ADOs) can use the professional standard to support the evaluation of competence and importantly to support practitioner development by identifying professional development needs.

The professional standard:

- describes the main functions for a given anti-doping role
- details the expected standard of competence for each of these functions using performance criteria
- details the knowledge and skill requirements for the role

Definitions

Colleagues: all staff in the organisation relevant to compliance, including all levels of leadership, management and operations.

Delegated Third Party: Any Person to which an Anti-Doping Organisation delegates any aspect of Doping Control or anti-doping Education programs including, but not limited to, third parties or other Anti-Doping Organisations that conduct Sample collection or other Doping Control services or anti-doping Educational programs for the Anti-Doping Organisation, or individuals serving as independent contractors who perform Doping Control services for the Anti-Doping Organisation (e.g., non-employee Doping Control officers or chaperones). This definition does not include CAS. *(Definition derived from World Anti-Doping Code)*

KEY PURPOSE

Support the organisation and stakeholders to achieve and maintain compliance with the Code, Standards and other applicable rules.

Primary functions

1. Foster and develop a culture of compliance with the Code, Standards and other applicable rules

Sub-Functions

- 1.1. Promote awareness and understanding of compliance requirements among colleagues and stakeholders
- 1.2. Encourage and assist colleagues to assess non-compliance risks in their area of responsibility
- 1.3. Encourage and assist colleagues to manage non-compliance risks in their area of responsibility
- 1.4 Encourage and assist colleagues to review and improve compliance procedures

2. Work with colleagues and delegated third parties to identify and address non-conformities in their area of responsibility

Sub-Functions

- 2.1 Encourage and assist colleagues and delegated third parties to identify non-conformities in their area of responsibility
- 2.2 Assist colleagues and delegated third parties to address non-conformities in their area of responsibility

3. Coordinate the gathering and reporting of internal information in response to regulatory requests

Sub-Functions

- 3.1 Assist colleagues and delegated third parties to gather, compile and report requested information
- 3.2 Assist colleagues and delegated third parties to respond to supplementary regulatory requests

Compliance Coordinator Role - Professional Standard

1 Foster and develop a culture of compliance with the Code, Standards and other applicable rules

Standard	Performance Criteria You must be able to:	Knowledge and understanding
1.1 Promote awareness and understanding of compliance requirements among colleagues and stakeholders	PC1 Monitor and keep up to date with compliance requirements, including the International Standard for Code Compliance for Signatories (ISCCS), World Anti-Doping Code and other International Standards and applicable rules PC2 Evaluate the relevance and impact of compliance requirements for own organisation, its different functional areas and stakeholders PC3 Support colleagues and stakeholders' understanding of compliance, compliance monitoring and the consequences of non-compliance PC4 Promote a climate of cooperation and transparency in regard to compliance	K1 The purpose and objectives of the ISCCS K2 The organisation's responsibilities in relation to compliance, including the scope of own responsibilities K3 The stakeholders who need to be aware of and understand compliance requirements K4 The potential consequences of non-compliance for the country, organisation, athletes and events K5 The role of WADA as the regulatory body for the world anti-doping program K6 The processes of compliance monitoring and enforcement, and the different bodies involved K7 Other (non-WADA) relevant rules, rights, regulations and legislation the organisation needs to comply with K8 The different categories and severity of non-compliance issues K9 The importance of keeping accurate records of the activities carried out in each organisational department K10 Reasons why it is important to establish a climate of cooperation and transparency in relation to compliance

1.2 Encourage and assist colleagues to assess non-compliance risks in their area of responsibility	PC1 Support colleagues to: • identify potential non-compliance issues in their functional area • assess the risks presented by potential non-compliance issues in terms of their impact and likelihood • document and internally report non-compliance risks	K1 Reasons why it is important for colleagues to assess compliance risks in their functional area K2 The principles and processes of compliance risk assessment K3 The types of advice, information, guidance and resources which colleagues may need in relation to risk assessment K4 Appropriate documentation and reporting procedures for compliance risk assessment
1.3 Encourage and assist colleagues to manage non-compliance risks in their area of responsibility	PC1 Encourage and assist colleagues to: • review good practice guidelines to identify potential methods of managing non-compliance risks in their functional area • access competent advice on potential methods of managing non-compliance risks • evaluate the strengths and weaknesses of different methods of managing non-compliance risks • establish processes and procedures to manage non-compliance risks	K1 The principles and processes of compliance risk management K2 Sources of good practice guidelines and competent advice on compliance risk management as applicable to different functional areas K3 How to choose appropriate processes and procedures to manage non-compliance risks
1.4 Encourage and assist colleagues to review and improve compliance procedures	PC1 Promote the importance of continuous quality improvement PC2 Support colleagues to: • monitor the effectiveness and efficiency of procedures to maintain compliance • identify and put in place improvements to compliance procedures	K1 Reasons why it is important for organisations to try to continuously improve compliance procedures K2 The principles of continuous quality improvement

2 Work with colleagues and designated third parties to identify and address non-conformities in their area of responsibility

Standard	Performance Criteria You must be able to:	Knowledge and understanding
2.1 Encourage and assist colleagues and delegated third parties to identify non-conformities in their area of responsibility	PC1 Encourage and assist colleagues and delegated third parties to: • continuously monitor their area of responsibility for non-conformities • evaluate evidence of non-conformities in their functional area • prioritise the non-conformities which need to be addressed in their area of responsibility • internally report non-conformities	K1 Reasons why it is important for colleagues and delegated third parties to consistently monitor for non-conformities. K2 The definitions of non-conformity and non-compliance. K3 Methods which can be used to prioritise non-conformities. K4 The internal reporting procedures for non-conformities.
2.2 Assist colleagues and delegated third parties to address non-conformities in their area of responsibility	PC1 Assist colleagues and delegated third parties to understand the level of severity of non-conformities and the timelines in which they need to be addressed PC2 Support colleagues and delegated third parties to • access appropriate sources of competent information, advice and guidance, where necessary • identify, evaluate and select appropriate methods of addressing identified non-conformities PC3 Support colleagues and delegated third parties to implement effective methods to address non-conformities PC4 Ensure all necessary documents and corrective actions are completed in line with compliance requirements	K1 The different types of non-conformities and their severity. K2 Reasons why it is important to address non-conformities within required timelines. K3 The types of advice, information, guidance and resources which colleagues and delegated third parties may need to address non-conformities.

3 Coordinate the gathering and reporting of internal information in response to regulatory requests.

Standard	Performance Criteria You must be able to:	Knowledge and understanding
3.1 Assist colleagues and delegated third parties to gather, compile and report requested information.	PC1 Identify and assess the status of the request and the timelines which must be met PC2 Identify colleagues and delegated third parties who need to be involved in responding to regulatory request. PC3 Assist colleagues and delegated third parties to: • interpret and evaluate the request, seeking clarification, where necessary • gather the requested information, checking its validity and reliability, and providing any necessary comments on its status • report the requested information in the required format and timelines PC4 Ensure the quality of provided information meets required standards PC5 Address any non-conformities that may be identified when gathering and compiling requested information	K1 The types of regulatory requests which the organisation may receive. K2 Reasons why it is important to respond within agreed timelines. K3 Colleagues and delegated third parties to involve in responding to a regulatory request and how to engage them in a collective effort. K4 Reasons why it is important to check the validity and reliability of information. K5 Reporting procedures and required formats for requested information
3.2 Assist colleagues and delegated third parties to respond to supplementary regulatory requests	PC1 Work with colleagues and delegated third parties to: • interpret and evaluate supplementary regulatory requests • gather additional information or reformat information, where necessary • provide additional explanations and clarifications where necessary • ensure all necessary documents and corrective actions are completed in line with compliance requirements	K1 The types of supplementary requests the organisation may receive in relation to information it has supplied K2 Reasons why it is important to supply clear and accurate explanations and clarifications when required K3 The types of documents and corrective actions which may need to be completed

Skills

Based on the results of a survey that was circulated among compliance practitioners across the anti-doping industry in 2024, a list of skills was identified as necessary for the profession. The following list details skills deemed as essential by 70% or more of respondents. Such skills should be assessed in candidates applying for a compliance role:

- Ability to deal with internal and external stakeholders
- Ability to give and receive feedback
- Ability to present complex technical content & topics in engaging plain language/formats
- Ability to record processes in detail and with accuracy
- Ability to work in compliance with code, standards, ethics
- Ability to work under pressure
- Ability to work with sensitive information and maintain confidentiality
- Analytical and logical thinking
- Attention to detail
- Being able to use word processing spreadsheets, social media, data visualization and email communication
- Critical thinking
- Goal setting
- Planning
- Project management
- Risk analysis
- Strategic thinking
- Teamwork collaboration
- Time management/ prioritization
- Writing

Collaborators

WADA, while leading the standard setting work to develop the professional standards, works collaboratively with stakeholders and WADA technical teams. The development work for Compliance was conducted by the Technical Working Group composed of:

- Anthony Ruy Cunha Moreira - ABCD / Ministério Do Esporte
- Chris Butler – Sport Integrity Australia
- Floriane Cavel - Agence française de lutte contre le dopage
- Gianluca Siracusano – International Testing Agency
- Gobinathan Nair - Searado
- Hilary Inwood - Doping Control Agency of Thailand
- Kamila Vokoun Hajkova - World Air Sports Federation
- Andrés Santos Ortiz - Puerto Rico National Antidoping Organisation
- Martin Lauesen - Anti-Doping Norway
- Paulina de la Loza Mora- MEX-NADO
- Prisca Mauriello - Fédération Internationale de l'Automobile
- Richard Grisdale – WADA
- Sasha Sutherland – Caribbean RADO
- Seena Omar - West Asia RADO
- Zhang Xiaoyan – Chinada

This group was chaired by a senior education practitioner from the anti-doping industry:

- David Müller – NADA Austria
- David Senft – NADA Austria

Quality Management

Version: 1.0
While WADA will update this document regularly to ensure it remains up-to-date, version 1.0 specifically is published as part of GLDF4CleanSport, an Erasmus+ project, and will be reviewed at the conclusion of the project.
Approved by: WADA Education Committee

GLDF Overview

One of WADA's six priorities under the World Anti-Doping Agency's 2020-2024 Strategic Plan is to 'Grow Impact'. As one of the key initiatives under this priority, the Agency has committed 'to developing training programs and qualifications standards for anti-doping professionals to improve professionalism and enhance the capabilities of the anti-doping workforce'.

Accordingly, in April 2020, WADA's Education Department commenced development of a Global Learning and Development Framework (GLDF), through which specific, standardized training for a range of anti-doping roles are being developed and made available for Anti-Doping Organizations (ADOs) and other stakeholders worldwide within the anti-doping ecosystem. The GLDF establishes role descriptors, professional standards and global learning and development activities for practitioner roles in the anti-doping industry.

The professional standards have been used by WADA to develop competency-based training programs. They can be read alongside:

(1) the role descriptor for the corresponding role, a simple document which clarifies the main characteristics of key anti-doping roles and can be used as a basis for developing a job description when ADOs are looking to recruit a position for a given role.

(2) the anti-doping core competency framework, which details the values and competencies that are common across the various roles in the anti-doping industry.

The Professional (occupational) Standards are the benchmarks of good practice and describe the expected standard of competence for a given role. They should not be confused with the International Standards, which are a set of documents that, along with the World Anti-Doping Code, seek to harmonize anti-doping policies, rules and regulations among Anti-Doping Organizations (ADOs) for specific technical and operational parts of anti-doping programs.

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