WORLD ANTI-DOPING AGENCY
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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 ISTI, renamed the *International Standard* for *Testing* and Investigations (ISTI), came into effect on 1 January 2015, the fourth time effective January 2017 and the fifth time effective March 2019. 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 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**

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

Code* Article 6 Analysis of *Samples

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

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

***Code* Article 13 Appeals**

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

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

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

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

3.0 Definitions and interpretation[1]

3.1 Defined terms from the 2021 *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 *Metabolite*s or *Marker*s (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:[2] 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 *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*.

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[1] *[Code Comment to Definitions: Defined terms shall include their plural and possessive forms, as well as those terms used as other parts of speech.]*

[2] *[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.]*

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 whereabouts , TUEs, *Sample* collection and handling, laboratory analysis, Results Management, 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: 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.[3]

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 certain *Events* and report on their observations as part of *WADA's* compliance monitoring program.

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

[3] [*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 Federation, consistent with the *International Standard* for *Testing* and Investigations.[4]
***Marker*:** A compound, group of compounds or biological variable(s) that indicates the *Use* of a *Prohibited Substance* or *Prohibited Method.*

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 *Sample*s, 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.

***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*.[5]

Registered Testing Pool: The pool of highest-priority *Athletes* established at the international level by International Federations and at the national level by *National Anti-Doping Organizations,* who are subject to focused *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.

[5] [*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.]

***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.

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

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.[6]
***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*.

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.*

[6] [*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.]*

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 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.3.4.

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 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*, 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). 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 or sub- contracted. 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, hold or store the *Sample* at any time during and after the *Sample* Collection Session that shall meet the requirements of Article 6.3.4

***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 their *Sample(s)*.

Suitable Specific Gravity for Analysis: For *Samples* with a volume between 90ml and 149ml, specific 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, defining *International Level Athletes* and *National Level Athletes* within the *Anti-Doping Organization's* anti-doping program, , followed by appropriate prioritization between sport(s) and/or sport disciplines, between categories of *Athletes*, between types of *Testing* and *Samples* collected, and types of *Sample* analysis including the requirements of the TDSSA.

***Testing* Authority:** The *Anti-Doping Organization* that authorizes *Testing* on *Athletes* it has authority over. 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*.[7]

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.

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 approval of non-accredited laboratories for the *Athlete Biological Passport.*

[7] [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).]

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 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.

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 provide that Risk Assessment and Test Distribution Plan to *WADA* where requested. 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 an 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 Test Distribution Plan during the year/cycle and as necessary in light of changing circumstances; and implement the Test Distribution Plan.

4.2 **Risk Assessment and Test Distribution Plan**

4.2.1 The starting point of the Test Distribution Plan 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 particular sport(s) and sport discipline(s) in question. This assessment 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 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);

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 Information Gathering and Intelligence Sharing) in accordance with Article 11.0 of the International Standard for Testing and Investigations;

g) The outcomes of previous test distribution planning cycles including past testing strategies;

h) At what points in their 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.

4.2.2 In developing its Test Distribution Plan, 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 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.

4.2.4 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 *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 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 described in Article 4.2 is completed, the next step is to determine an appropriate definition of International-Level Athlete (for an International Federation), or National Level Athlete (for a National Anti-Doping Organization) 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 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 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 may be selected to represent the country in *International Events* or Competitions). It 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, 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, 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, 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 International and National Level *Athletes* has been 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, 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, Paralympic, world championship and other multi-sport *events*) and may be selected for such *events*;

(iii) *Athletes* in receipt of public funding;

(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 Organization*s 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* shall be made the subject of *Target Testing* 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 and/or 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 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 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), Random Selection that is weighted shall be prioritized and be conducted according to defined criteria 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, 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* shall take place between 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 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 6 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 Risk Assessment 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.

4.7 Sample analysis and retention strategy

4.7.1. *Anti-Doping Organizations* shall ask Laboratories to analyze *Samples* for the standard analysis menu based on whether the *Sample* was collected *In-Competition* or *Out-of-Competition. 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.

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, where 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 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;

d) *Samples* collected from *Athletes* meeting some or all of the 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[8]

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.

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;

(i) be maintained in strict confidence at all time;

a. be used exclusively for purposes of planning, coordinating or conducting *Doping Control*;

b. be relevant to the *Athlete Biological Passport* or other analytical results;

c. support an investigation into a potential anti-doping rule violation; and/or

d. 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.

4.8.4 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.

4.8.5 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***

[8] *(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.)*

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 Organization*s 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 4.8.7.3: 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).

4.8.7.5 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**

4.8.8.1. *Anti-Doping Organizations* may at their discretion implement a general pool which is the tier below the *Te*sting 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 *Te*sting 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) 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) within fifteen business days of *Sample* collection enter the *Doping Control* form into *ADAMS*.

c) share information on whereabouts requirements on *Athletes* where there is overlapping *Testing* Authority via *ADAMS.*

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 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 their identity;

c) Informing the *Athlete* that they have been selected to provide a *Sample* and of their rights and responsibilities;

d) 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 No Advance Notice *Testing* shall be the method for *Sample* collection save in exceptional and justifiable circumstances. 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. 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.

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 document *Athlete* notification attempt(s) as specified in Article 7.4.5 and outcome(s) including unsuccessful attempts.

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: 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 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.]

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 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*, they do so at their 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 shall

be the first urine passed by the *Athlete* subsequent to notification, i.e., they 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 their *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 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 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. 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 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 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 *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;

c) Ensure the identity of the *Athlete* is not evident from the equipment itself;

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 statue 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.]

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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 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 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 they 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 of notification;

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)*;

h) The *Athlete's* home address, email address and telephone number;

i) The *Athlete's* sport and discipline (in accordance with the TDSSA);

j) The name of the *Athlete's* coach and doctor;

k) The *Sample* code number and reference to the equipment manufacturer;

l) The type of the *Sample* (urine, blood, etc);

m) The type of test (*In-Competition* or *Out-of-Competition*);

n) The name and signature of the witnessing DCO/Chaperone;

o) The name and signature of the Blood Collection Officer (where applicable);

p) Partial *Sample* information, as per Article F.4.4;

q) Required laboratory information on the *Sample* (i.e., for a urine *Sample*, its volume and specific gravity measurement);

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;

u) *Athlete* comments or concerns regarding the conduct of the *Sample* Collection Session, as declared by the *Athlete*;

v) *Athlete* consent for the processing of Sample collection data;

w) *Athlete* consent or otherwise for the use of the Sample(s) for research purposes;

x) The name and signature of the Athlete's representative (if applicable), as per Article 7.4.6;

y) The name and signature of the *Athlete*;

z) The name and signature of the DCO;

aa) The name of the *Testing* Authority;

bb) The name of the *Sample* Collection Authority; and

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 present and who witnessed the proceedings, should sign the documentation.

7.4.7 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 transport from the *Doping Control* Station.

8.2 General

Post-test administration begins when the *Athlete* has left the *Doping Control* Station after providing 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), i), j), k), l), m), q), r), w), 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 8.3.2: 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 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 10.2: 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 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 10.7.1) 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 Article 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 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 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 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 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 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*; 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; (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*, 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 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*.

[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*, 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* 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 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 and 14.1.4.

A.3.2 The DCO is responsible for:

a) informing the *Athlete* and any other party (as applicable) of the possible sanctions applicable to 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* and other party (as applicable) of the possible sanctions applicable to 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 *Athlete*s 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 *Athlete*s 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 *Athlete*s 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: The Testing Authority in the case of an Athlete with an intellectual impairment, shall decide whether to obtain consent to Testing from 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.

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 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 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 *Athlete*s who are Minors

C.1 Objective

To ensure that the particular needs of *Athlete*s 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 *Athlete*s 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 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 *Athlete*s 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 *Athlete*s 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.. 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 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*.

C.4.6 Should an *Athlete* who is a *Minor* decline to have a representative present during the *Sample* Collection Session, this shall be clearly documented by the DCO. This does not invalidate the test but shall be recorded. If a Minor declines the presence of a representative, the representative of the DCO/Chaperone 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) 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 *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 such Minor *Athlete*) and shall accommodate the Minor in locating a representative 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 *Athlete*s with Impairments.

D.4.2 The DCO shall ensure that the *Athlete* is offered a choice of Sample Collection Equipment for collecting the *Sample*. If the nature of an *Athlete*'*s* impairment requires that 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, 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 their hands with water only prior to the provision of the *Sample* or wears suitable (e.g., 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 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 *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 *Athlete Biological Passport* program; or

(c) other equipment required to collect the blood S*ample* as set out in *WADA's* Blood Collection Guidelines; and

(d) 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, they 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 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, Tamper Evident kit.

E.4.14 The *Athlete* shall seal 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.

E4.15 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 Laboratory that will be analysing the *Sample*.

E.4.16 Blood *Samples* shall be transported in accordance with 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 ABP purposes. Additional requirements applicable only to the ABP are contained in Annex K.]

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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 they have 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. the DCO 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 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 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, 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 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 their first Sample is too dilute, 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 have an interest in the outcome of a *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;

b) Related to, or involved in the personal affairs of, any *Athlete* who might provide a *Sample* at that session;

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 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 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 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.

I Annex I – *Code* Article 2.4 Whereabouts Requirements

I.1 Introduction

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

a) make quarterly Whereabouts Filings that provide accurate and complete information about the *Athlete's* whereabouts during the forthcoming quarter, including identifying where they will be living, training and competing during that quarter, and to update those Whereabouts Filings where necessary, so that 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) specify in their Whereabouts Filings, for each day in the forthcoming quarter, one specific 60-minute time slot where 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 them. Nor does it limit their obligation to provide the information specified in Article I.3 as to 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 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.]

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 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 their next Whereabouts Failure.

I.1.4 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.1.5 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 15th 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.2 Entering and leaving a *Registered Testing Pool*

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

a) the fact that they have been included in its *Registered Testing Pool* with effect from a specified date in the future; and

b) the whereabouts requirements with which they shall therefore comply; and

c) the *Consequences* if they fail to comply with those whereabouts requirements: and

d) that they may also be tested by other *Anti-Doping Organizations* with *Testing* jurisdiction over them.

[Comment to I.2.1: This notification 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 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 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 they are in its pool. Prior to doing so, however, they shall agree between themselves which of them the

Athlete shall provide their Whereabouts Filings to, and each notice sent to the *Athlete* shall specify that they shall provide 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 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* to ensure that:

a) the information provided by the Athlete is stored safely and securely;

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) they have been given written notice by each *Anti-Doping Organization* that put him in its *Registered Testing Pool* that they are no longer designated for inclusion in its *Registered Testing Pool*; or

b) they retire 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 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, 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 they again becomes available for Out-of-Competition Testing. For example, if an Athlete committed two Whereabouts Failures in the six months prior to their retirement, then if they commit another Whereabouts Failure in the first six months in which 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.3.2 *Consistent with Article I.1.4, the Anti-Doping Organization collecting an Athlete's Whereabouts Filings – may specify a date 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 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.3.2(a): For these purposes, the Athlete should specify an address where they live or otherwise knows that mail received there will be immediately brought to 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) specific confirmation of the *Athlete's* consent to the sharing of their Whereabouts Filing with other *Anti-Doping Organizations* that have *Testing* Authority over 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.3.2(d): 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 their Whereabouts Filing, and then set out 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 should specify that in their Whereabouts Filing and detail any other routine that they will be following in the forthcoming quarter, e.g., 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) at which they are scheduled to compete at such location(s)

Subject to Article I.3.4, 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.3.3: 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 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 they 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 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.3.3 As the sole exception to Article I.3.3, 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 their Whereabouts Filing a series of dates when and locations where they anticipate being *In-Competition* (and as a result has not specified a 60-minute time slot for those dates), if they are then eliminated from the Competition before the end of those dates, so that the remaining dates are no longer *In-Competition* Dates, they must update their Whereabouts Filing to provide all the necessary information for those dates, including the 60-minute time slot specified in Article I.3.3.

I.3.4 It is the *Athlete's* responsibility to ensure that they provide 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 their 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 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.3.5: 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 them. In either case, the matter 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 their whereabouts will be at all times during the forthcoming quarter, they must provide their best information, based on where they expect to be at the relevant times, and then update that information as necessary in accordance with Article I.3.6.]

I.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 file an update so that the information on file is again accurate and complete. In particular, the *Athlete* must always update their Whereabouts Filing 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.3.3; and/or (b) in the place where they are staying overnight. The *Athlete* 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 their filing for the relevant day. 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.3.6: 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 their Whereabouts Filing. For the avoidance of doubt, however, an Athlete who updates 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 they are located for Testing during that time slot.]

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 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 failure to comply with that requirement;

b) that the *Athlete* failed to comply with that requirement by the applicable deadline;

[Comment to I.3.7(b): An Athlete fails to comply with the requirement to make Whereabouts Filings (i) where they do not make any such filing, or where they fail to update the filing as required by Article I.3.6; or (ii) where they make the filing or update but does not include all of the required information in that filing or update (e.g. they do not include the place where 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 they will be pursuing during the quarter, or during the period covered by the update); or (iii) where they include 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 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 they 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 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.3.7(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 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* was at least negligent. For these purposes, the *Athlete* will be presumed to have committed the failure negligently upon proof that they were notified of the requirements yet did not comply with them. That presumption may only be rebutted by the *Athlete* establishing that no negligent behaviour on 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 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 their Whereabouts Filing, at the location that the *Athlete* has specified for that time slot in such filing. 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 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 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 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 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 they had been designated for inclusion in a *Registered Testing Pool*, they were advised that they would be liable for a Missed Test if they were unavailable for *Testing* during the 60-minute time slot specified in 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 their specified 60-minute time slot at the location specified for that time slot for that day, they will be liable for a Missed Test even if they are located later that day and a Sample is successfully collected from 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 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 they have provided their telephone number in their Whereabouts Filing) to see if 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 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* 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 their part caused or contributed to their failure (i) to be available for *Testing* at such location during such time slot, and
(ii) to update their most recent Whereabouts Filing to give notice of a different location where 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 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 their whereabouts information.

[Comment to I.5.1: If an Anti-Doping Organization that receives an Athlete's Whereabouts Filings (and so is their Results Management Authority for whereabouts purposes) removes the Athlete from its Registered Testing Pool after recording one or two Whereabouts Failures against them, then if the Athlete is put in another Anti-Doping Organization's Registered Testing Pool, and that other Anti-Doping Organization starts receiving 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 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 they admit 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 they had any other Whereabouts Failures recorded against them 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 they 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 them.

If the *Athlete* does respond within the deadline, it shall consider whether their 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 they 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 them 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 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 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 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, *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.*

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 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 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 their Whereabouts Filings to their team not only in respect of periods of Team Activities but also in respect of periods where they are not with the team, provided the team agrees. In such circumstances, the Athlete will need to provide the information as to 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 they make 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 they are available for *Testing* at the whereabouts declared on their Whereabouts Filings. It shall not be a defence to an allegation of a Missed Test that the *Athlete* delegated responsibility for filing 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 their team if they are not available for Testing at a location declared by their team, then they will be able to avoid accountability for 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.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 Test planning shall consider the *Athlete*'s whereabouts information to ensure *Sample* collection does not occur within two hours of 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 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 The DCO/BCO 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) 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 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) Has the *Athlete* been exposed to any extreme environmental conditions during the last two hours prior to blood collection, including any sessions in any artificial heat environment, such as a sauna?

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 Vaccutainer®(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 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 vacuum tubes were filled appropriately; and

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

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 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* supplementary form, and/or the additional information specific to the *ABP* collected on a related report form;

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 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 the Passport Custodian. The APMU will initially review profiles to facilitate targeting recommendations for the 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 (ADOs) 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 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 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 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 0.5th percentile to an upper limit corresponding to the 99.5th 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 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.2.2.4 below).

L.2.1.4 *ATPF* – Haematological Module

L.2.1.4.1 For the Haematological Module, the Adaptive Model automatically processes in *ADAMS* two primary *Markers*, haemoglobin concentration (HGB) and 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 5 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, 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□Adiol/5βAdiol and 5□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 5 valid values of 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 abnormality in any of the other ratios of the "steroid profile" (A/T, A/Etio, 5□Adiol/5βAdiol, 5□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.

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, RET% can be affected but not HGB under certain transportation conditions).

L.2.1.6.2 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 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 review in *ADAMS*. This should take place within seven working days following the generation of the *ATPF* in *ADAMS*. The review of the Passport shall be conducted based on the Passport and other basic information (e.g. competition schedules), which may be available, such that

the Expert is blinded to the identity of the *Athlete*.

[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.

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

L.2.2.4.1 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 the 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:

Expert Evaluation	**APMU Action**
"Normal"	Continue normal *Testing* plan.
"Suspicious"	AProvide recommendations to the Passport Custodian for *Target Testing*,*Sample* analysis and/or requesting further information as required.
Likely doping"	Send to a panel of three Experts, including the initial Expert, as per section L.3 of this Annex L.
"Likely medical condition"	Inform the *Athlete* via the Passport Custodian (or send to other Experts).

[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 Passport Custodian educates the Athletes to ensure that they undergo regular health monitoring and not rely on the ABP for this purpose. Nevertheless, the 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 opinion of the appointed Expert in the initial review, pending other explanation to be provided at a later stage, is that of "Likely doping", the Passport shall then be sent by the APMU to two additional Experts for review. 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, now constitute the Expert Panel, composed of the Expert appointed in the initial review and these two other Experts.

L.3.2 The review by the three Experts must follow the same 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 within seven working days after receipt of the request.

L.3.3 The APMU is responsible for liaising with the Experts and for advising the Passport Custodian of the subsequent Expert assessment. The Experts can request further information, as they deem relevant for their review, notably information related to medical conditions, *Competition schedule* and/or *Sample*(s) analysis results. Such requests are directed via the APMU to the 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 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.

[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 is 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 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 while maintaining strict confidentiality of the *Athlete's* personal information.

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 recommend that the Passport Custodian 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 a unanimous opinion of "Likely doping" is rendered by all three Experts, the APMU shall declare a "Likely doping" evaluation in the APMU report in *ADAMS* and organize a conference call with the Expert Panel 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, the APMU should coordinate with the Passport Custodian to compile any potentially relevant information relevant intelligence and relevant pathophysiological information).

L.4.2 Once completed, the *ABP* Documentation Package shall be sent by the APMU to the Expert Panel, who will review it and provide a joint Expert report to be signed by all three Experts. 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 unanimous position of "Likely doping", the APMU shall declare an *Adverse Passport Finding* (*APF*) L.5.1 in *ADAMS* that includes a written statement of the *APF*, the *ABP* Documentation Package and the joint Expert report.

L.5.2 After reviewing the *ABP* Documentation Package and joint Expert report, the Passport Custodian shall:

a) Notify the *Athlete* of the *APF* and that the Passport Custodian is considering the assertion of an anti-doping rule violation (ADRV) against the *Athlete*.

b) Provide the *Athlete* the *ABP* Documentation Package and the joint Expert report.

c) Invite the *Athlete* to provide their own explanation, in a timely manner, of the data provided to the 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 Passport 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) nanimous opinion of "Likely doping" by the Experts based on the information in the Passport, and any explanation provided by the Athlete; or
b) Based on the available information, the Experts are unable to reach a unanimous opinion of "Likely doping" set forth above.

[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 Passport 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 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 *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, which may affect *the Markers* of the steroid profile, or for the *Use* of 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.