Athlete Passport Management Unit
Requirements and Procedures

1.0 Introduction

This Technical Document has been established to harmonize effective management of Athlete Passports by providing specific requirements that an Athlete Passport Management Unit (APMU) shall meet in order to be a WADA approved APMU.

2.0 APMU Roles and Responsibilities

2.1 The APMU is the dedicated unit that is responsible for the timely management of Passports in the Anti-Doping Administration and Management System (ADAMS) on behalf of the Passport Custodian. Passport management by the APMU involves:

   a) Performing Passport assessments to make timely Target Testing recommendations to the Anti-Doping Organization (ADO) via the APMU Report in ADAMS when appropriate; and

   b) Managing the review of atypical Passports according to Annex L of the International Standard for Testing and Investigations (ISTI), including, but not limited to, the following:

      • Issuing and updating APMU Reports in ADAMS,

      • In case of an Atypical Passport Finding (ATPF), or when a review is otherwise justified, assigning and liaising with the Expert panel as required,

      • Compiling all necessary information to establish an Athlete Biological Passport (ABP) Documentation Package, and

      • Declaring Adverse Passport Findings (APFs) to the Passport Custodian and WADA.

2.2 The APMU shall assess and manage Passport Sample validity in ADAMS, in consultation with the Experts or Laboratories when necessary per Article 8.2 of this Technical Document.

2.3 The APMU shall provide support to the Passport Custodian in defining priorities in order to optimize the efficiency of their ABP program. These priorities may include, but are not limited to, cost efficiency, special analyses, Test Distribution Plans, and Target Testing.
3.0 **APMU Hosting**

3.1 An **APMU** shall be hosted by a **Laboratory**.  

3.2 **APMU** hosting by a **Laboratory** does not preclude the use of qualified **APMU** managers employed by **ADOs** or other **Laboratories**.

3.3 **Passport** management shall be carried out in **ADAMS** using dedicated **APMU** accounts associated with the host **Laboratory** regardless of the physical location of the **APMU** manager(s).

3.4 The host **Laboratory** shall implement procedures to maintain the operational independence of the **APMUs**, including the appointment of dedicated personnel with a specified time commitment to the **APMU** and a separate allocation in the budget so that the **APMU** can continue to function should the **WADA** accreditation of the **Laboratory** be suspended (see 7.1.5 below).

4.0 **APMU Personnel**

4.1 Personnel employed by, or under contract to, the **APMU** shall have a personal file which shall contain copies of the curriculum vitae or qualification form, a job description, and records of initial and ongoing training related to anti-doping. The **APMU** shall maintain appropriate confidentiality of **Personal Information**.

4.2 All personnel shall have a thorough knowledge of their responsibilities including respect of the confidentiality of results, the procedures for the management of **Sample** validity and compilation of **ABP Documentation Packages**, and the **Passport** review process.

4.3 The host **Laboratory** shall have a **Person** qualified to function as the designated head of the **APMU** by assuming professional, organizational, educational, and administrative responsibility of the **APMU**. The **APMU** director is responsible for ensuring the **APMU** operates in compliance with this **Technical Document** and applicable **International Standards**. In particular, the **APMU** director assumes the responsibility of signing and delivering all **APFs** to the **Passport Custodian** and **WADA**.

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1 Hosting in this context is defined as the provision of facilities and resources for the efficient functioning of the **APMU**.

2 The head of the **APMU** is termed “director” herein, however use of this title is not a requirement and can be adjusted according to the needs of the organization.
4.3.1 The APMU director’s qualifications shall ensure that he or she is competent and capable of leading the APMU operations, including:

- A doctoral degree (or equivalent) in one of the natural sciences or medicine, or in the absence of a doctoral degree, a master’s degree (or equivalent) with extensive and appropriate anti-doping science experience and training (i.e., minimum of five (5) years);
- Management experience;
- Ability to oversee compliance with quality management practices; and
- Good command of at least one of WADA’s two official languages, English and French.

It is acknowledged that the APMU director plays an essential role in the APMU operations and that WADA APMU approval is delivered based upon appointment of a proper candidate. WADA reserves the right to review the credentials of such appointment in accordance with the above qualifications.

Any personnel changes to the position of APMU director shall be communicated to WADA no later than one month prior to the scheduled date the APMU director vacates his/her position. A succession plan shall be submitted to WADA.

The APMU director is notably responsible for monitoring the quality of Passport management and ensuring that other APMU personnel have the experience and training necessary to perform their duties.

4.4 The APMU shall use qualified scientific personnel to serve as APMU manager(s)\(^3\) to manage the Passport review process and Sample validity, and to provide Target Testing and Analytical Testing recommendations through APMU Reports in ADAMS. APMU manager(s) shall be employed by the host Laboratory or be under contract by an ADO or another Laboratory.\(^4\) The APMU should have at least one APMU manager per Module of the ABP.

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\(^3\) The designation of “manager” is used herein, however use of this title is not a requirement and can be adjusted according to the needs of the organization. The APMU director can also serve in the role of APMU manager as required.

\(^4\) An individual APMU manager may be contracted by multiple APMUs concurrently. Where the APMU manager is employed by an ADO, it is assumed that this individual will have access to the identity and other privileged or confidential information about the Athlete, past Testing and/or results management and investigations history. This additional information shall not be shared by the APMU manager in the APMU Report, but is recognized to be important to contribute to effective Target Testing.
4.4.1 APMU manager(s) shall have qualifications in one or more Modules of the ABP. The qualifications are at minimum:

- Bachelor’s degree (or equivalent) in one of the natural or health sciences. Documented experience of three (3) years or more in anti-doping or similar scientific training is equivalent to a Bachelor’s degree for this position; and

- Adequate training in one or more Modules of the ABP, capacity to understand and evaluate analytical results and the physiological response to the Use of Prohibited Substances and Prohibited Methods, as well as criteria relevant for Target Testing.

4.4.2 Where the APMU manager has strong qualifications in Laboratory steroid analysis, steroid doping and metabolism and/or clinical endocrinology, and is not employed by the Passport Custodian, the APMU manager can act as a first Expert for the Steroidal Module of the ABP.

4.5 The APMU should have administrative personnel to coordinate with the Passport Custodian to compile the necessary documentation required for the ABP Documentation Packages, manage communication with various stakeholders and assist with the organization of APMU-related documentation.

5.0 APMU Confidentiality and Security

5.1 All APMU related activities shall be carried out in accordance with the confidentiality requirements of the Code and International Standards. Personal Information shall be maintained in strict confidence in accordance with the International Standard for the Protection of Privacy and Personal Information (ISPPPI) and applicable national and regional laws.

5.2 The APMU shall have a policy to ensure the confidentiality of its procedures and security of its information systems regardless of the physical location of the APMU personnel at the time of Passport management, such as when the APMU manager is physically located in an ADO, another Laboratory or when travelling.

5.3 The APMU shall have a policy for the security of its activities and information systems against unauthorized access. Such policy should be based on a threat and risk assessment by expert(s) in the relevant field.

5.4 The APMU shall adhere to those information retention times set forth in Annex A of the ISPPPI. In consultation with the Passport Custodian, the APMU shall develop
specific plans and procedures to ensure the secure retention and eventual destruction of Personal Information.

6.0 **ABP Expert Panel**

6.1 The APMU shall engage the services of qualified Experts for the review of Passports in accordance with Annex L of the ISTI.

6.2 The APMU shall establish, in consultation with the ADO, a list of Experts who are qualified to comprise an Expert panel for the review of Passports for which the ADO is the Passport Custodian.

- For the Haematological Module, the Expert panel should consist of at least three (3) Experts who have qualifications in one or more of the fields of clinical and laboratory haematology, sports medicine and exercise physiology, as they apply to blood doping.

- For the Steroidal Module, the Expert panel should be composed of at least three (3) individuals with qualifications in the fields of Laboratory steroid analysis, steroid doping and metabolism and/or clinical endocrinology.

- All three (3) Experts forming an Expert panel assigned to review a particular Passport shall not be of one and the same nationality and no two (2) Experts shall have a primary affiliation with the same organization, institution or company, including, but not limited to, universities, hospitals and research institutes.

- At least one Expert on the Expert panel shall currently serve, or have previously served as an Expert and reviewed Passports for a WADA-approved APMU.

6.3 The APMU shall ensure that each Expert:

- receives relevant ABP Expert education resources provided by WADA; and,

- has an Expert account created in ADAMS by the APMU for the anonymous review of Passports.

- is independent of the Passport Custodian and has been requested to declare all potential conflicts of interest in reviewing Passports, and

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5 An APMU manager may also concurrently serve as an Expert for other APMUs, provided all requirements of Article 6.0 are met.
• has signed the *WADA ABP Expert Code of Conduct*. The *ABP Expert Code of Conduct* is provided in Appendix A of this *Technical Document*.

### 7.0 Process and Requirements for WADA APMU Approval

Passports shall only be managed by APMUs that have been approved by WADA.

#### 7.1 Applying for WADA APMU Approval

**7.1.1 Expression of interest**

The candidate APMU shall officially contact WADA in writing to express its interest in the *WADA APMU* approval process.

**7.1.2 Preliminary discussion with WADA**

The purpose of this discussion is to clarify issues with regard to the approval process and to obtain information about different aspects of the APMU relevant to the approval process. Such a discussion could be conducted prior to or during the approval process.

**7.1.3 Description of the candidate APMU**

The candidate APMU shall then complete a detailed application form provided by WADA and submit it to WADA no later than eight (8) weeks following receipt. The application form includes, but is not limited to, the following:

- List of staff, their qualifications and intended role within the APMU;
- Description of physical facilities, including a description of the security considerations for records and computer systems;
- List of external Experts, their contact information, and their qualifications;
- Business plan for the APMU and letters of support from ADOs that demonstrate a commitment to manage a minimum of 100 haematological Passports and 500 steroidal Passports from Code-compliant Testing Authorities (as determined by WADA) annually, within one year of receiving approval. An eligible business plan shall demonstrate a commitment to provide at least 200 APMU Reports for

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6 See Article 2.0 for a description of the role of the APMU in Passport management.
haematological Passports and 500 APMU Reports for steroidal Passports per year.

7.1.4 Liability insurance coverage

The APMU shall provide documentation to WADA that professional liability risk insurance coverage or equivalent has been obtained which covers the APMU to an amount of no less than 2 million USD annually, and should ensure that the Expert panel has suitable professional liability risk insurance or equivalent coverage.

7.1.5 Operational independence

The APMU shall ensure a degree of operational independence from the host Laboratory such that the APMU can continue to fulfill its responsibilities in compliance with this Technical Document should the WADA accreditation of the Laboratory be suspended, where the reason for the Suspension does not have an impact on the function of the APMU. Operational independence implies that the APMU shall have a separate allocation in the budget and sufficient technical and human resources to permit the APMU to manage its own affairs without hindrance or interference by host Laboratories.

7.1.6 Compliance with the WADA APMU Code of Ethics

The candidate APMU shall implement and comply with the provisions in the WADA APMU Code of Ethics (Appendix B). The APMU shall provide the APMU Code of Ethics to APMU personnel and ensure their understanding and compliance with all aspects. The candidate APMU shall provide to WADA a letter of compliance with the APMU Code of Ethics, signed by the APMU director.

7.1.7 WADA recommendation for approval

After receipt of the application form, WADA will complete and submit a report to the candidate APMU. The report will include a recommendation concerning approval of the candidate APMU. In the case where the recommendation is that the APMU should not be approved, the report will identify improvements required in order to be reconsidered for designation as a WADA approved APMU. In the case where the recommendation is that the APMU should be approved, the report and recommendation will be submitted to the WADA Executive Committee for approval.

7.1.8 Issuing approval letter and publishing APMU list on WADA website
A letter signed by a duly authorized representative of WADA shall be issued in recognition of approval of an APMU. Such letter shall specify the name of the APMU and the period for which the approval is valid. Approval may be granted after the effective date, with retroactive effect. An updated list of approved APMUs shall be published by WADA on WADA’s website.

7.2 Maintaining WADA Approval

An APMU shall continue to function if the Laboratory’s accreditation is suspended, provided that the APMU continues to meet other criteria for approval, and that any non-conformities related to the Suspension of the Laboratory’s accreditation do not have an impact on the APMU.\(^7\) The APMU’s approval shall be revoked if the WADA accreditation of the associated Laboratory is revoked.

7.2.1 Minimum number of Passports and APMU Reports

In order to maintain proficiency, WADA-approved APMUs are required to review a minimum number of Passports and provide APMU Reports for Passports of Code-compliant Passport Custodians (as determined by WADA). WADA shall monitor the total number of Passports under the responsibility of the APMU and the number of APMU Reports issued by the APMU. If the number falls below 100 haematological Passports or 500 steroidal Passports per year, or the number of APMU Reports for haematological Passports or steroidal Passports falls below 200 or 500, respectively, WADA APMU approval may be suspended or revoked.

7.2.2 Documenting compliance with the WADA APMU Code of Ethics

The APMU shall annually provide to WADA a letter of compliance with the provisions of the APMU Code of Ethics (Appendix B), signed by the APMU director. All APMU personnel shall sign the WADA APMU Code of Ethics on a yearly basis and the signed documents shall be kept as part of their personnel file. The APMU may be asked to provide documentation of compliance with the provisions of the APMU Code of Ethics.

7.2.3 Documenting sharing of knowledge

The APMU shall proactively share knowledge with other WADA-approved APMUs. The APMU should participate at least once annually in a WADA working group or an anti-

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\(^7\) Suspension or revocation of APMU approval shall not be considered in decisions on Suspension or Revocation of Laboratory accreditation unless the APMU non-compliance has a clear impact on the function of the Laboratory.
doping symposium or conference. The APMU shall supply an annual report on sharing of knowledge with WADA. A description of this sharing of knowledge is provided in the WADA APMU Code of Ethics (Appendix B).

7.2.4 Maintaining professional liability insurance coverage

The APMU shall maintain an ongoing professional liability risk insurance coverage or equivalent which covers the APMU to an amount of no less than 2 million USD annually, and should ensure that the Expert panel has suitable professional liability risk insurance or equivalent coverage. Proof of the corresponding coverage shall be provided to WADA upon request.

7.2.5 APMU compliance monitoring by WADA

WADA shall monitor the compliance of APMUs against the requirements listed in applicable International Standards and Technical Documents. In addition, WADA shall also conduct at least an annual review of APMU compliance and any other relevant information received or collected by WADA to assess the overall performance of each APMU and to decide its approval status.

7.2.6 APMU assessment by WADA

WADA reserves the right to conduct document-based audits as well as inspect and assess the APMU through on-site assessments at any time, at WADA’s expense. The notice of an on-site assessment will be made in writing to the APMU director. In exceptional circumstances, the on-site assessment may be unannounced.

7.2.7 Suspension or revocation of approval

Suspension or revocation of APMU approval may occur whenever the APMU fails to comply with applicable International Standards and/or Technical Documents, or where such measure is otherwise required in order to protect the interests of the Anti-Doping Community.

Without limitation, the following non-conformities in the routine operations of an APMU may be considered in support of suspension:

- Failure to comply with any of the requirements listed in applicable International Standards and/or Technical Documents;
- Failure to cooperate with WADA or the relevant Testing Authority in providing documentation;
- Non-compliance(s) with the APMU Code of Ethics;
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- Major changes in key staff without proper and timely notification to WADA;
- Failure to cooperate in any WADA inquiry in relation to the activities of the APMU;
- Non-compliance(s) identified from APMU on-site assessment(s); or
- Loss of resources jeopardizing the quality and/or viability of the APMU.

Non-compliance(s) in APMU performance will be assessed by WADA on a case-by-case basis considering the severity and consequences to the anti-doping system. Evidence of serious or multiple non-compliance(s) will be reported by WADA to an external assessment panel, who will make a recommendation to WADA regarding the approval status of the APMU and the required corrective actions and associated deadlines. WADA reserves the right to provisionally suspend an APMU’s approval pending a full investigation. Such a decision may be taken by the Chair of WADA’s Executive Committee.

The period and terms of suspension shall be proportionate to the seriousness of the non-compliance(s) and the need to ensure reliable management of Athlete Passports. A period of suspension shall be of a duration to be decided by WADA and up to a maximum of six (6) months, during which time any non-conformity(ies) must be corrected and such correction documented and reported to WADA. If the non-conformity(ies) is/are not corrected during the initial suspension period, the suspension shall either be further extended or the APMU approval revoked. The suspension period may be extended up to a maximum of an additional six (6) months, based on justifiable delays in implementing the satisfactory corrective actions. If the APMU has provided evidence determined to be satisfactory by WADA that the non-compliance(s) are corrected, the APMU’s approval shall be re-instated. If the APMU has not provided evidence determined to be satisfactory by WADA at the end of the extended suspension period, not to exceed twelve (12) months, the APMU’s approval shall be revoked.

During the period of suspension of the APMU, the management of all Athlete Passports shall be transferred by the Passport Custodian to another WADA-approved APMU.

The WADA Executive Committee shall revoke the approval of any APMU if it determines that revocation is necessary to ensure reliable management of Athlete Passports. Revocation may be based on, but not limited to, the following non-compliances in the routine operations of an APMU:

- Repeated suspensions of WADA APMU approval;
• Systematic failure to comply with applicable *International Standards* and/or Technical Documents;
• Failure to correct a lack of compliance with any of the requirements listed in applicable *International Standards* and/or Technical Documents during a suspension period;
• A serious or repeated violation of the APMU Code of Ethics;
• Repeated and/or continuous failure to cooperate in any WADA inquiry in relation to the activities of the APMU;
• Serious non-compliance(s) identified from APMU on-site assessment(s); or
• Loss of resources jeopardizing the quality and/or viability of the APMU.

7.2.8 Appeals

*WADA’s* decision to suspend or revoke an APMU’s approval may be appealed in writing by the APMU before CAS within twenty-one (21) calendar days of the decision notification.

8.0 **Passport** Management and Administration

The APMU shall manage all Passports under the custody of the Passport Custodian.

8.1 **Passport** Review Process

The APMU shall carry out the Passport review process as described in Annex L of the ISTI.

8.1.1 When assessing a newly matched *Sample* in a Passport:

- The APMU shall assess the validity of individual *Samples* contained within the Passport in ADAMS and address any observed irregularities according to Article 8.2 by updating the APMU Report.
- The APMU shall review any new *Samples* within the updated Passport and provide Target Testing, *Sample* analysis or other recommendations via the APMU Report as required.\(^8\)

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\(^8\) One of the benefits of the *ABP* is the ability to focus resources on atypical results requiring attention. As such, it is not mandatory for an APMU to review all newly matched *Samples*
• The APMU may request further information from the Passport Custodian including, but not limited to, circumstances and details of Sample collection, transport, and analysis, redacted Athlete competition schedule, travel history, Athlete performance, redacted Athlete medical information, information on an Adverse Analytical Finding (AAF) that is potentially relevant in the context of the Passport, or altitude/whereabouts information which may help them interpret the new Sample.

• If the APMU deems necessary, or upon ADO request after reviewing the updated Passport, such as if the APMU identifies suspicious features in the profile, the APMU shall send the Passport to an Expert for review.

8.1.2 When assessing a Passport that generated an ATPF:

• The APMU shall review any previous APMU Reports associated with the Passport.

• The APMU shall assess the validity of individual Samples contained within the Passport in ADAMS, address any irregularities according to Article 8.2 and update the APMU Report accordingly.

• The APMU shall evaluate the need for urgent Target Testing of the Athlete and communicate Testing recommendations to the ADO via the APMU Report as required.

• The APMU shall assess the need for additional analysis of existing Samples by specific methods (e.g., Erythropoiesis-Simulating Agents [ESAs], Gas Chromatography – Combustion - Isotope Ratio Mass Spectrometry [GC/C/IRMS], etc.) and communicate these to the ADO via the APMU Report as required.

• If an Expert has previously recommended that follow-up Testing include a minimum number of Samples before further review of an Athlete’s Passport data, the APMU may delay sending the Passport for review until the planned number of Samples have been analyzed.

• If, after managing the Sample validity, the Passport remains atypical, the APMU shall, without delay, send the Passport for review in ADAMS by an

under their responsibility that do not generate a specific notification requiring mandatory follow-up. Nevertheless, at the discretion of the ADO, an APMU may be requested to review normal Passports.
Expert according to Article L.2.2 of the ISTI. In the event of an Expert opinion of:

- “Likely doping” - the APMU shall update the APMU Report indicating “likely doping”, specifying any detailed analysis or Testing recommendations from the Expert (if provided), and continue the Passport review process according to Article L.3 of the ISTI.

- “Passport suspicious” - the APMU shall update the APMU Report indicating “Passport suspicious”, highlighting the main atypical features, and outline a Target Testing strategy (if necessary) based on the Expert recommendations, or recommend further analysis (e.g., GC/C/IRMS).

- “Normal” - the APMU shall update the APMU Report indicating “Normal”, summarizing the review by the Expert and outlining any Testing recommendations provided by the Expert.

- “Likely medical condition” - the APMU shall update the APMU Report indicating “Likely medical condition” with submission to additional Experts if recommended in the Expert evaluation, and should inform the Athlete via the ADO.

8.1.3 When assessing a Sample that generated an Atypical Passport Finding - Confirmation Procedure Request (ATPF-CPR) or a Suspicious Steroid Profile Confirmation Procedure Request (SSP-CPR):

- The APMU shall assess the validity of the Sample generating the Confirmation Procedure Request in ADAMS, address any irregularities according to Article 8.2 and update the APMU Report accordingly.

- Where the APMU finds that Confirmation Procedure(s) is/are not necessary according to the Technical Document for Endogenous Anabolic Androgenic Steroids (TDEAAS), the APMU shall update the APMU Report accordingly and notify the Laboratory not to proceed with the Confirmation Procedure(s).

8.1.4 Expert review of normal Passports

The APMU should provide the Experts from time to time with Passports for review, even when the values are within normal limits and presenting no suspicious elements,
as this will ensure that Experts are provided a balanced perspective on the Athletes’ Passports.

8.2 Management of Sample Validity

8.2.1 The APMU shall assess and manage the validity of urine and ABP blood Samples in ADAMS according to applicable International Standards and Technical Documents, including the International Standard for Laboratories (ISL), the ISTI and the TDEAAS.

8.2.2 Any changes in Sample validity made by the APMU shall be noted in applicable fields in ADAMS and in the APMU Report.

8.2.3 Where multiple Samples were provided by an Athlete during a single Sample Collection Session and are present in a Passport, the APMU shall invalidate all but one Sample based on assessment by the APMU.

8.2.4 Where multiple Samples were provided by an Athlete on the same day from different Sample Collection Sessions and are present in a Passport, the APMU may invalidate all but one Sample after assessment by the APMU in consultation with the concerned ADO(s).

8.2.5 For urine Samples where a confounding factor is detected by the Laboratory (e.g., alcohol), the APMU may invalidate the Sample when it is considered to affect the sensitivity of the Adaptive Model to detect changes in future Samples.

8.2.6 For ABP blood Samples of suspicious profiles where the Blood Stability Score (BSS) could not be calculated, the APMU shall assess the collection-to-analysis time (CAT), any available temperature logger data, and the potential degradation of blood Markers in order to evaluate Sample validity, liaising with (an) Expert(s) as required.

8.3 The APMU Report

The APMU Report is a central element in the administrative sequence of the ABP that shall be entered and maintained by the APMU in ADAMS. The APMU Report provides an up-to-date overview of the current status of an Athlete’s Passport together with recommendations, as appropriate, for efficient follow-up by the Passport Custodian. The APMU Report serves to update the Passport Custodian, WADA and other ADOs with whom the Passport is shared. In addition, it provides a record of events associated with a Passport in ADAMS.
The APMU Report may include, without limitations:

- Assessments of Sample validity by the APMU and/or Experts;
- Recommendations for complementary Analytical Testing (e.g., ESAs, HIF stabilizers, confirmation of steroid profile, GC/C/IRMS, long-term steroid Metabolites, IGF-I, etc.) on Samples collected;
- Recommendations for further Analytical Testing on Samples collected previously;
- Recommendations for storing of Samples for extended periods of time for Further Analysis;
- Target Testing recommendations based on available data and Experts’ recommendations; and
- A summary of any recent Expert reviews.

8.3.1 APMU Reports shall be written in English and should use language which maintains the strict anonymity of the Athlete.

8.3.2 The APMU Report shall not contain any reference to an AAF that may be known to the APMU, with the exception of when the AAF is used by the APMU as a reason not to perform Confirmation Procedure(s) following an ATPF-CPR or SSP-CPR for the steroid profile (see TDEAAS). If the APMU assessment leads to an Expert review, the APMU may, however, separately inform the Expert(s) of the existence of the AAF. Depending on the result of the Expert review, the APMU shall further inform the Result Management Authority managing the AAF of the result of the Expert review, via the Passport Custodian, if that information is potentially relevant in the context of the result management based on the AAF.  

8.3.3 Target Testing recommendations shall be included in the APMU Report with a sufficient level of detail for the Passport Custodian to conduct effective, timely and appropriate Testing.

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9 While Passport sharing is strongly encouraged to enhance ADO efficiencies and program effectiveness through exchange of information and mutual recognition of program outcomes, this must be carried out within the framework of the ISPPPI and Article 14.1.4 of the Code. The information regarding an AAF shall therefore not be recorded in the APMU Report and shall not be disclosed unnecessarily. Only those individuals and/or organizations involved in the applicable results management process should be privy to this information.
8.4 Compiling the ABP Documentation Package

8.4.1 The APMU shall be responsible for compiling the ABP Documentation Package using the template provided by WADA. The Passport Custodian shall collect information and bear the cost of compiling ABP Documentation Packages unless it has established an agreement to share the costs with relevant Testing Authorities.

8.4.2 Upon request by the APMU, the ADO shall provide a detailed Athlete competition and altitude schedule, relevant information from Doping Control forms, temperature logger and Chain of Custody documentation to the APMU.

8.4.3 The APMU shall confer with the Expert panel to determine the scope of such compilation, including the recommended elements and the number of tests that need to be included. It is only mandatory to have a full Laboratory Documentation Package for those tests that are deemed essential by the Expert panel. Other relevant tests, for example those that confirm the baseline levels of a Marker, only require a Laboratory Certificate of Analysis. If the Passport Custodian is not the Testing Authority of the test requiring Laboratory documentation, the Passport Custodian shall coordinate with the Testing Authority to obtain such documentation.

8.4.4 The following key information shall be included for both Haematological and Steroidal Modules of the ABP Documentation Package:

- For the Athlete: age (excluding the date of birth), gender, and sport/discipline;
- For all tests: date and time of test, ADAMS ordinal number of the test in the Passport, Sample code number, and biological data and results obtained by the Adaptive Model;
- For tests selected by the APMU and Expert panel: internal Laboratory (or WADA-Approved Laboratory for the ABP) Sample number, Competition information, Chain of Custody documentation (including Sample collection date and time, and Sample analysis date and time), information from the Doping Control forms for each Sample collected during the period; and
- A compilation of the latest reviews from the Experts or the joint Expert opinion, as applicable.

For the Haematological Module, the following additional information shall be provided for the tests selected by the APMU and Expert panel:
• Temperature profile during the transportation of the blood Sample and, when available, the BSS;
• Laboratory (or WADA-Approved Laboratory for the ABP) documentation, including blood results, scattergrams, and internal and external quality controls; and
• Answers of the Athlete from the ABP Supplementary Report Form recorded as part of a Sample Collection Session.

For the Steroidal Module, the following additional information shall be provided for the tests selected by the APMU and Expert panel:

• pH of the urine Sample;
• Specific gravity (SG) of the urine Sample;
• Laboratory documentation, including screening and confirmed (when applicable) values of steroid concentrations and ratios;
• GC/C/IRMS results, when applicable;
• Indication of ethanol consumption: urinary concentrations of ethanol and/or ethanol Metabolite(s);
• Indication of microbial growth, including at least 5α-androstandione/A and/or 5β-androstandione/Etio ratio; and
• Information on the presence or absence of confounding factors that may influence the “steroid profile”, such as human chorionic gonadotrophin (hCG), ketoconazole, and 5α-reductase inhibitors.
ABP Expert Code of Conduct Declaration

As an Expert engaged by [name of the APMU] to serve as a member of an Athlete Biological Passport (ABP) Expert panel, I, the undersigned, ____________________, affirm and acknowledge that, by signing this declaration, I am bound by the terms of such declaration.

1.0 Passport Review

I shall review all ABP cases in accordance with applicable WADA standards and established scientific knowledge and practices.

I understand that I shall not review Passports from individual Athletes on a private basis or from individuals or organizations acting on their behalf outside of standard anti-doping protocols under the World Anti-Doping Code.

2.0 Confidentiality

I understand that the nature of my participation as a member of the aforementioned panel is such that I shall come into contact with or be made aware of sensitive and Confidential Information.

The term “Confidential Information” means all nonpublic information shared throughout my mandate as an ABP Expert, information that is identified in writing as CONFIDENTIAL at the time of disclosure or the circumstances surrounding its disclosure, and information that reasonably should be considered as confidential. Confidential Information includes, without limitation (i) nonpublic information relating to technical or non-technical data, algorithms, formulas, patterns, compilations, programs, devices, methods, techniques, drawings, processes, products, services, or lists of actual or potential customers or suppliers which is not commonly known by or available to the public, technology, business plans and methods, promotional and marketing activities, finances and other business affairs, (ii) third-party information that the Disclosing Party is obligated to keep confidential, and (iii) the nature, context and existence of the relationship created by my nomination as an ABP Expert, discussion or negotiations between the people involved in this relation. The term “Confidential Information” also includes any modifications or derivatives that contain
or are based upon such Confidential Information, including analysis, reports or summaries of that information.

I swear or solemnly state that, as a member of an ABP Expert panel of [name of the organization], I shall respect all of the requirements relating to the confidentiality of the information that I receive or that is brought to my attention in any way whatsoever during the course of my duties and functions throughout and beyond the duration of my participation.

With the exception of legal obligations, authorisation by virtue of my office, the order of a court or law enforcement agency of competent jurisdiction, or the express authorisation of [person in charge of the organization], I shall not reveal or hand over to anybody, particularly to representatives of the media, any confidential information or document that is brought to my attention or is in my possession, either directly or indirectly through my participation as a member of an ABP Expert panel of [name of the organization], excluding information that has already been made public or is in my possession independently of [name of the organization]. I shall not use my title as member of an ABP Expert panel for any public declaration.

Furthermore, I understand that the violation of my confidentiality obligation as described herein may result in possible legal proceedings against me and the immediate termination of my participation as a member of an ABP Expert panel of [name of the organization].

3.0 Conflicts of Interest

In the event of any conflict of interest with a party to the evaluation for an Athlete’s Passport that an ABP Expert panel of [name of the organization] may have to handle, I shall immediately inform [person in charge of the organization] and abstain from taking part in the decision procedure for the specific case in question.

4.0 Conduct Detrimental to the Anti-Doping Program

I shall not engage in conduct or activities that undermine or are detrimental to the anti-doping programs of WADA, an International Federation, a National Anti-Doping Organization, a National Olympic Committee, a Regional Anti-Doping Organization, a Major Event Organization, or the International Olympic Committee or International Paralympic Committee. Such conduct could include, but is not limited to, conviction
for fraud, embezzlement, perjury, etc., or knowledge of such, that would cast doubt on the integrity of the relevant anti-doping program(s).

I shall not provide counsel, advice or information to Athletes or other Persons regarding techniques or methods that may mask the detection of, alter the metabolism of, or suppress the excretion of a Prohibited Substance or Marker(s) of a Prohibited Substance or Prohibited Method.

Outside the context of an arbitration hearing, I shall not provide information to an Athlete or Athlete Support Personnel or any other Person about a testing method that might assist the Athlete in avoiding detection of the Use of a Prohibited Substance or Prohibited Method. I shall not assist an Athlete in avoiding collection of a representative Sample (e.g., advice on masking or detection windows). This paragraph does not prohibit presentations to educate Athletes, students, or others concerning anti-doping programs.

If I am requested by any party or a tribunal or court of competent jurisdiction to appear as an expert witness, I understand that I am expected to provide an independent, scientifically valid expert testimony.

I shall not issue (publish) any public warning statements related to findings observed during Passport reviews. The responsibility for evaluation of these findings with further action and publication, if considered necessary, shall be left to the relevant Anti-Doping Organization(s).

5.0 Declaration

By signing this declaration, I declare that I will abide by the Code of Conduct as described, and that my failure to abide by the Code of Conduct will result in the immediate termination of my participation as a member of an ABP Expert panel of [name of the organization], in addition to any disciplinary sanctions that could be imposed against me by a disciplinary panel of competent jurisdiction.

DATED THE ______ DAY OF ____________, 20________________

BY _________________________________________

(SIGNATURE)
Athlete Passport Management Unit Code of Ethics

1.0 Confidentiality

The nature of the responsibilities of the Athlete Passport Management Unit (APMU) is such that the APMU shall come into contact with or be made aware of sensitive and Confidential Information.

The term “Confidential Information” means all non-public information shared throughout the mandate of the APMU, information that is identified in writing as CONFIDENTIAL at the time of disclosure or the circumstances surrounding its disclosure, and information that reasonably should be considered as confidential. Confidential Information includes, without limitation (i) non-public information relating to technical or non-technical data, algorithms, formulas, patterns, compilations, programs, devices, methods, techniques, drawings, processes, products, services, or lists of actual or potential customers or suppliers which is not commonly known by or available to the public, technology, business plans and methods, promotional and marketing activities, finances and other business affairs, (ii) third-party information that the Disclosing Party is obligated to keep confidential, and (iii) discussion or negotiations between the relevant people involved. The term "Confidential Information” also includes any modifications or derivatives that contain or are based upon such Confidential Information, including analysis, reports or summaries of that information.

APMUs shall respect all of the requirements relating to the confidentiality of the information obtained in any way whatsoever during the course of their activities throughout and beyond the period of APMU approval by WADA.

With the exception of legal obligations, authorization by the Passport Custodian, or the order of a court or law enforcement agency of competent jurisdiction, an APMU shall not reveal or hand over to anybody, particularly to representatives of the media, any confidential information or document that is obtained, either directly or indirectly through its activities, excluding information that has already been made public or is its possession independently of the Passport Custodian. The director of the APMU, their delegates and APMU personnel shall not discuss or make any comment to the media on individual Passports or results without the express consent of the
organization that is asserting the Adverse Passport Finding (APF) in adjudication (i.e., the Passport Custodian or WADA).

2.0 Passport Management

APMUs shall manage Passports in the Anti-Doping Administration and Management System (ADAMS) on behalf of the Passport Custodian in accordance with the requirements of the TDAPMU, Annex L of the International Standard for Testing and Investigations (ISTI), and other applicable International Standards and Technical Documents.

APMUs shall not manage or review Passports from individual Athletes on a private basis or from individuals or organizations acting on their behalf.

The APMU shall not provide services in a Doping Control adjudication, unless specifically requested by the responsible Passport Custodian, WADA, or a Hearing Body.

3.0 Sharing of Knowledge

When the APMU identifies a pattern in a Passport that may be attributed to the Use of a new form of Prohibited Substance or Prohibited Method, the APMU shall share such information with WADA within sixty (60) days.

Sharing of knowledge can occur by participation in scientific meetings, publication of results of research, or sharing of specific details of Passport management, such as Target Testing strategies, approaches to managing sample validity, information regarding confounding factors, or special analyses necessary for detection. The APMU director and staff shall participate in developing standards for best practice and enhancing uniformity of Passport management in the WADA approved APMU system.

4.0 Conduct Detrimental to the Anti-Doping Program

The APMU personnel shall not engage in conduct or activities that undermine or are detrimental to the World Anti-doping Program. Such conduct could include, but is

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1 The World Anti-doping Program comprises the anti-doping programs of WADA and all Code Signatories, including International Federations, National Anti-Doping Organizations, Regional
not limited to, fraud, embezzlement, perjury, etc., or knowledge of such, that would cast doubt on the integrity of the anti-doping program.

No APMU personnel shall provide counsel, advice or information to Athletes or others regarding techniques or methods used to mask or avoid detection of, alter metabolism of, or suppress excretion of a Prohibited Substance or Marker(s) of the Use of a Prohibited Substance or Prohibited Method.

Outside of information provided in the context of anti-doping proceedings, no APMU personnel shall provide information about Marker(s) of the ABP which could be used to avoid the detection of doping, to an Athlete or Athlete Support Personnel. No APMU staff shall assist an Athlete in avoiding collection of a representative Sample (e.g., advice on masking strategies or detection windows). This paragraph does not prohibit general presentations to educate Athletes, students, or others concerning anti-doping programs and Prohibited Substances or Prohibited Methods. Such provisions shall remain valid for a minimum of five (5) years following termination of the contractual relationship of any employee to an APMU.

If an APMU staff is requested to provide evidence in anti-doping proceedings, they are expected to provide independent, scientifically-valid expert testimony.

The APMU shall not issue (publish) any public warning statements related to the Passport findings. The responsibility for publication of these findings, if considered necessary, shall be left to a political decision-making body (e.g., Anti-Doping Organization, International Federation or WADA).

5.0 Breach and Enforceability

A failure to respect any of the provisions of this Code of Ethics may result in the APMU being subject to disciplinary proceedings instituted by WADA to either suspend or revoke its APMU approval in accordance with Article 7.2.7 of the TDAPMU. In addition, a failure to respect any of the provisions of this Code of Ethics may result in APMU staff being subject to disciplinary action by the APMU, resulting in consequences beyond those stipulated under the TDAPMU, including potential termination of employment or, where applicable, the imposition of criminal charges.

Anti-Doping Organizations, Major Event Organizations, the International Olympic Committee or the International Paralympic Committee.