



**WORLD  
ANTI-DOPING  
AGENCY**  
play true

2015 World Anti-Doping Code

**Guidelines for Optimizing  
Collaboration Between  
International Federations and  
National Anti-Doping  
Organizations**

**Version 1.0**

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## 1.0 Introduction

For *Anti-Doping Organizations (ADOs)* to operate the most effective and efficient anti-doping programs, International Federations (IFs) and *National Anti-Doping Organizations (NADOs)* must work closely together to pursue the same goal.

Resources today, both financial and human, are limited and must be utilized in the best possible way to ensure that the programs being delivered are sustainable and as wide-reaching as possible.

Joint collaboration between IFs and *NADOs* will build stronger working partnerships, develop greater levels of trust, and encourage openness to information and intelligence sharing—all crucial elements to the implementation of quality global anti-doping programs. Working in silos will severely reduce our joint goal to achieve an environment in which clean sport and clean *Athletes* can thrive.

These Guidelines and the effective collaborative practices listed within are the result of several meetings coordinated by the World Anti-Doping Agency (*WADA*) that involved input from representatives of six IFs and six *NADOs*<sup>1</sup>. Specific IF/*NADO* collaboration best practices and respective responsibilities are outlined in Sections 3-11.

The 2015 World Anti-Doping Code (*Code*), International Standard for Testing and Investigations (ISTI) and International Standard for Therapeutic Use Exemptions (ISTUE) contain a number of references that require IFs and *NADOs* to work together to achieve *Code*-compliant anti-doping programs that are sensible, proportionate and optimize available resources.

A compilation of *Code* and *International Standard (IS)* provisions of particular importance are provided in the Annex at the end of these Guidelines.

### 1.1 Objective

*WADA's* Guidelines are not mandatory, however these documents contain important guidance and support resources to guide ADO anti-doping practices.

This Guidelines document is intended to be a living document. *WADA* therefore welcomes any feedback and further suggestions from *ADOs* on its content.

<sup>1</sup> The *ADOs* involved in this project included the IFs for Athletics, Cycling, Football, Skiing, Tennis, and Weightlifting, and *NADOs* from Japan, Netherlands, Norway, Saudi Arabia, United Kingdom, and United States.

## 1.2 Definitions

This document includes defined terms from the *Code* and these *IS*: ISTI, ISTUE, International Standard for Laboratories (ISL), and International Standard for the Protection of Privacy and Personal Information (ISPPPI). *Code* terms are written in italics. Terms from the *IS* are underlined.

Definitions are provided in Guidelines Section 12.0.

## 1.3 References

In addition to the *Code* and ISTI provisions included in the Annex, these Guidelines include links to the following resources. All are available on WADA's Website, [www.wada-ama.org](http://www.wada-ama.org):

- [Information/Education Guidelines to Prevent Doping in Sport](#)
- [Guidelines for Implementing an Effective \*Testing\* Program](#)
- [ADAMS Organization Information & Enterprise Settings](#)
- [Athlete Biological Passport Operating Guidelines](#)
- [Information Gathering and Intelligence Sharing Guidelines](#)
- [Therapeutic Use Exemptions Guidelines](#)
- [Results Management, Hearings and Decisions Guidelines.](#)

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## 2.0 Key Principals of Collaboration

Trust is not based solely on compliance. Trust mainly results from action, i.e. from best practices of the IF and *NADO*, and from demonstrated willingness to collaborate in Anti-Doping Activities resolutely and efficiently.

Key principals of IF/*NADO* collaboration include:

- Commitment to clean sport and the rights of clean *Athletes*
- Trust
- Use of the Anti-Doping Administration and Management System (*ADAMS*)
- Mutual respect
- Transparency
- Cooperation
- Communication
- Flexibility
- Information and intelligence sharing, optimization of resources
- Understanding of each other's jurisdiction and working environment
- Adherence to *Code* and *IS* requirements.

To build trust, IFs and *NADOs* must make the effort to meet with each other and share information and good practices. This requires ongoing communication, regular meetings, sharing relevant contacts, and building rapport. *WADA's ADO* Symposium is one example of a prime opportunity for IFs and *NADOs* to meet, discuss programs and share information.

IFs and *NADOs* are encouraged to partner and learn from each other over the complete range of key Anti-Doping Activities: prevention and education; Therapeutic Use Exemptions (*TUEs*); information gathering and intelligence sharing; and *Testing* and results management.

It is crucial that all *ADOs* use *ADAMS* or another *WADA*-approved system, as required by the 2015 *Code*, to enable the sharing of anti-doping data and intelligence with other *ADOs* and *WADA*.

With the increased oversight of anti-doping by *WADA*, anti-doping programs are more transparent than ever. IFs and *NADOs* should welcome information and intelligence sharing as a means to improve cooperation, enhance the efficiency and effectiveness of anti-doping programs, and facilitate *WADA* oversight.

Both IFs and *NADOs* need to make known any obstacles to information sharing that exist between their organizations and/or *WADA*, and find ways to overcome them.

Through WADA's enhanced monitoring and compliance program, IFs and NADOs will gain a greater level of confidence in the credibility of each other's programs.

## Effective Collaboration Practices

Guidelines Sections 3 to 11 present collaboration best practices and respective IF/NADO responsibilities.

### 3.0 Education

Duplication of information in education and prevention programs for doping-free sport should be avoided. Where possible, IFs and NADOs should consider if such activities can be jointly organized and implemented.

NADOs should implement anti-doping programs that focus on informing *Athletes* and *Athlete Support Personnel* of the *Consequences* of doping, and develop effective values-based education programs that prevent the *Use* of doping substances.

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Resource: [WADA's Information/Education Guidelines to Prevent Doping in Sport](#)

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IFs should implement event-based education programs for both elite and junior *Athletes*, in cooperation with NADOs and National Federations (NFs).

IFs should engage and oblige their NFs and Continental Federations to implement and/or cooperate in the implementation of anti-doping education programs with NADOs.

IFs can assist NADOs by informing them about the organization and culture of their sports/disciplines, *Athletes* and *Athlete Support Personnel*.

NADOs may be able to assist IFs by translating IF education material and jointly delivering IF education programs.

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## 4.0 Test Distribution Planning

Coordination of Test Distribution Plans (TDPs) is more effective if done via *ADAMS*.

IFs and *NADOs* should coordinate their risk assessment and share TDPs and intelligence as much as possible. This approach ensures that tests are applied to the right *Athletes*, and resources are not overcommitted to the same *Athletes*.

Through data sharing, the timing of *Testing* can be coordinated, resources optimized and duplication avoided. IFs and *NADOs* can set up test warnings (planned test notifications) in *ADAMS* for *Athletes* for whom they share dual jurisdiction and access. A notification to *ADOs* is generated when a test is planned on the same *Athlete* by two different *ADOs* within a seven-day window.

IFs and *NADOs* are required to share information on their completed *Testing* with other *ADOs* via *ADAMS* or another *WADA*-approved system.

IFs should discuss and assess *NADO Testing* programs for *Athletes* for whom the IF and *NADO* share jurisdiction. If the *NADO* is conducting a comprehensive *Testing* program, the IF could focus its resources on *Athletes* in other areas of the world where limited *Testing* is occurring.

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Resources: [Guidelines for Implementing an Effective Testing Program \(Refer to pages 20 - 23\)](#)

[ADAMS Organization Information & Enterprise Settings](#)

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IFs and *NADOs* may also consider having the *NADOs* focus their *Testing* for a particular sport on *Athletes* who are not in the IF's *Registered Testing Pool (RTP)*, while the IF tests *Athletes* in its *RTP* in coordination with the *NADO*. This strategy allows the *NADO* to focus its resources on other *National-Level Athletes*.

Sharing *Testing* plans can result in a lower cost for *Testing Athletes* in a particular sport/discipline for whom the IF and *NADO* have jurisdiction.

For effective coordination of anti-doping programs, IFs and *NADOs* should ensure that the relevant contact *person(s)* is/are listed in English, with contact details in *ADAMS* and on their respective Websites if the IF/*NADO* does not currently use *ADAMS*.

*Target Testing* may require *Athletes* be tested at a particular time and location, sometimes with short notice due to specific intelligence. *NADOs* should have systems in place to ensure that they are able to react to short notice target test

requests not only for their own program, but also for IFs and other *NADOs* with which they may work.

## 5.0 Athlete Whereabouts

Cooperation is key to building a strong anti-doping program and monitoring suspicious behaviour of *Athletes* in the *NADO's* country or abroad, regardless of the *Athlete's* level.

IFs and *NADOs* with the same *Athletes* in a *RTP* are required to coordinate the collection of their whereabouts information, and must agree which organization will be the Whereabouts Custodian for these *Athletes*.

The Whereabouts Custodian is the body responsible for:

- Notifying an *Athlete* of his/her inclusion in a *RTP*;
- Explaining to the *Athlete* how to file his/her whereabouts information;
- Ensuring that the *Athlete* fully understands the *consequences* of failing to meet the whereabouts requirements;

Results management of all Whereabouts Failures i.e. a Filing Failure or a Missed Test.

IFs should notify *NADOs* when removing *Athletes* from an international *RTP* so the *NADO* can decide whether to include such *Athletes* in its national *RTP*.

IFs and *NADOs* must make available, through *ADAMS* or another *WADA*-approved system, a list that identifies the *Athletes* included in its respective *RTP* either by name or by clearly defined, specific criteria.

IFs should request their NFs to assist the *NADO* in establishing a *RTP* or other *Testing* pool(s), and in maintaining these pools throughout the year.

*NADOs* may conduct *Testing* on foreign *Athletes* in their country. IFs should assist *NADOs* in identifying *Athletes* of interest for potential *Target Testing*, providing:

- *Athlete* whereabouts, if requested;
- The most relevant *Sample(s)* types to collect, and specific types of analyses to conduct.

IFs have the opportunity to request *NADOs* to travel to other countries (where the local *NADO* may be less developed or not operational) to test the IF's *Athletes*<sup>2</sup>.

<sup>2</sup> The role of *RADOs* must not be forgotten. IFs and *NADOs* should be aware that *RADOs* can be a valid alternative for the provision of anti-doping services in certain countries. This includes *Testing* support.

## 6.0 Event Testing

Both *NADOs* and *IFs* should approach *Event Testing* as a partnership, recognizing both organizations have unique expertise to protect clean sport.

*NADOs* should proactively approach the responsible *IF* for any Major Event to be held in its country to offer assistance with the delivery of anti-doping programs.

*IF* and *NADO Event* jurisdiction is clearly specified in the *Code*: the *IF* is responsible for *International Events*; the *NADO* is responsible for *National Events*. *IFs* and *NADOs* should respect this jurisdiction.

If an *ADO* is not the responsible Testing Authority at an *Event*, but wishes to conduct *Testing* outside *Event Venues* during the *Event Period*, the *ADO* that would otherwise have Testing Authority must first check with the ruling body of the *Event* to obtain permission to conduct *Testing* and, if applicable, discuss how to coordinate such *Testing*.

To avoid any misunderstanding, *IFs* and *NADOs* are required to have clear agreements on *Event Testing* roles and responsibilities in place in advance. A written agreement between the two parties is recommended.

In some cases, the *Event's* Local Organizing Committee (*LOC*) may be responsible for covering the cost of *In-Competition Testing* at *International Events* and required to sign a service agreement with the *NADO*. The *IF* should ensure that the service agreement between the *LOC* and the *NADO* aligns with *Code* provisions. Alternatively, a tripartite agreement could be signed between the *IF*, *NADO* and *LOC*.

Where an *IF* is the Testing Authority for a major event in a country, opportunities exist for the *IF* to engage the *NADO* for other Anti-Doping Activities besides *Testing* such as information gathering and intelligence sharing, TDP development, and/or information and education programs like Outreach and awareness campaigns.

In the lead up to and during the *Event*, *IFs* should consider leveraging the *NADO's* relationships with other organizations (e.g. Customs, Border Police, etc.) to gather intelligence.

Where possible, *IFs* should engage *NADO Testing* services for their *Major Events*, requiring *LOCs* to seek the *NADO's* services as the first step. Given the provision of *Testing* services in the anti-doping market is competitive, *NADOs* should be conscious of their pricing, be flexible and open to the *IF* wishing to ship *Samples* to the *IF's* preferred *WADA*-accredited Laboratory, which may be different to that of the *NADO*.

Prior to an *Event*, IFs should develop sport-specific information and instructions to help the *NADO/Doping Control Officers (DCOs)* understand the specifics of the sport and the intricacies around *in- and Out-of-Competition Testing*.

IFs may require a technical or anti-doping representative be on site *for* in-competition testing to work in partnership with the *NADO's DCOs* and *Chaperones*. The IF representative would contribute to their understanding of the sport-specific aspects/procedures and build trust in the *NADO's* ability to deliver *Testing* in accordance with the IF's requirements.

IFs that use a *NADO's Sample Collection Personnel* to conduct their out-of-competition testing programs should be confident using the same anti-doping personnel to deliver their in-competition testing programs.

IFs should support *NADOs* wishing to test at *International Events* where the IF is not planning to conduct *Testing*. In such cases, the IF should be responsible for results management unless otherwise agreed.

IFs should utilize the *NADO's* expertise and local/regional knowledge when conducting *Testing* in the *NADO's* country.

IFs should encourage their NFs to request that the *NADO* conduct *Testing* of their National Championships.

When an IF contracts a *NADO* to undertake its *Testing* and the *NADO* wishes to collect additional *Samples* or request additional types of analysis, the *NADO* should notify the IF to coordinate this request. The *NADO* must cover the additional costs however the IF remains the Result Management Authority.

## **7.0 Athlete Biological Passport**

*Athlete Biological Passport (ABP)* data must be shared between IFs and *NADOs* with authority over the same *Athlete* to ensure coordination and best use of resources. *Athletes* should only have one *Passport* in *ADAMS*, and not multiple *Passports* in other systems.

Sharing *ABP* data can be restricted or forbidden as per individual national data protection legislations. IFs and *NADOs* should endeavor to find ways to legally circumvent any national legislative intricacies. Legal considerations should not be misconstrued as a pretext not to share *ABP* data.

The *ADO* that conducts the first test on an *Athlete* automatically becomes the Passport Custodian. *Passport* custodianship can be transferred between IFs and *NADOs*.

WADA has developed a Collaboration Agreement Template for *Passport* sharing between multiple *ADOs* (supported by *ADAMS*). *ADOs* should cooperate during *Testing*, *Passport* evaluations and results management whenever appropriate.

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Resource: [WADA's ABP Operating Guidelines](#)

See Appendix F - Collaboration Agreement Template

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*ADOs* should enter *Doping Control Forms* into *ADAMS* promptly after a test is conducted to ensure that the *Athlete's ABP* profile is updated, and any related follow-up action can be taken in a timely manner.

## 8.0 Intelligence Sharing and Investigations

*ADOs* should develop and implement policies and procedures for sharing intelligence with other *ADOs* (where appropriate and subject to applicable law). This requires *ADOs* to have adequate office, information technology and the necessary security systems in place to demonstrate their capacity to properly protect shared information and intelligence.

Depending on the sport/discipline and nationality of a *Person* under investigation, the investigating *ADO* should always consider seeking the cooperation of the relevant IF or *NADO* when conducting the investigation. Where an *ADO* does not take an investigation forward, but has notified the other relevant *ADOs*, it must share the decision and reason(s) with the *ADOs* and *WADA*.

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Resource: [WADA's Information Gathering and Intelligence Sharing Guidelines](#)

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IFs must ensure that their NFs report any information suggesting or relating to an anti-doping rule violation (ADRV) to their *NADO* and IF, and cooperate with investigations conducted by any *ADO*. Anti-doping rules with applicable sanctions under the rules of an IF or *National Olympic Committee* may assist in ensuring the NFs cooperate and comply with this requirement.

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## 9.0 Therapeutic Use Exemptions

To be *Code*-compliant, all IFs and *NADOs* must input all *TUEs* into *ADAMS*. When an IF grants a *TUE* to an *International-Level Athlete*, *ADAMS* provides automatic notification to the *NADO* of the *Athlete*, who then has a right of review and referral to *WADA* within a 21-day time limit.

IFs and *NADOs* must publish on their Web sites a notice that clearly sets out the criteria under which *Athletes* under their jurisdiction must apply for a *TUE*. This criteria must be consistent with the *ISTUE* and the 2015 *Code* definitions of *International-* and *National-Level Athletes*.

IFs must clearly publish on their Website which *NADOs* they automatically recognize *TUEs* from. Automatic recognition is only possible if such *TUEs* have been reported in *ADAMS* for the IF and *WADA* to review.

IFs must also outline which *TUE* decisions of other *ADOs* must be submitted to it for recognition.

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Resource: [WADA's Therapeutic Use Exemptions Guidelines](#)

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IFs must also publish on their Web sites the *International Events* (and the related timeframe) for which they require *TUEs* to be submitted to them so *Athletes* and *NADOs* are aware.

If a *TUE* is granted by a *NADO* to a *National-Level Athlete*, and that *Athlete* becomes an *International-Level Athlete*, the IF must recognize the *TUE* if the criteria under which the *TUE* was granted by the *NADO* meets *ISTUE* requirements. This includes input of the *TUE* into *ADAMS* by the *NADO's* Therapeutic Use Exemption Committee.

## 10.0 Results Management

All IFs and *NADOs* should input *ADRV* information into *ADAMS* or another *WADA*-approved system.

Where IFs or *NADOs* delegate Results Management Authority (RMA) to NFs, they should instruct the NFs to use the *NADO*-independent judicial panels (where established) to ensure cases are heard by a group of independent experts who regularly deal with national-level doping cases. This should reduce the NFs' costs

and administrative strain, and lead to more consistent decisions for all doping cases within the country.

Before giving an *Athlete* or other *Person* notice of an asserted ADRV, the IF or *NADO* must consult *ADAMS* to determine if any prior ADRV exists.

When conducting the initial review of an *Adverse Analytical Finding* or *Atypical Finding*, the RMA must determine if a valid and applicable *TUE* has been granted.

The RMA is required to notify the IF or *NADO* and *WADA* of an ADRV at the same time it provides notice to the *Athlete*. The same process applies to each Whereabouts Failure.

The RMA must notify the *Athlete*, IF, *NADO* and *WADA* of all results management, ADRV and appeal decisions, as these organizations have a right of appeal.

Where a *NADO* tests a foreign *Athlete* in its country and the rules of the *NADO* do not give the *NADO* RMA over an *Athlete* who is not a national, resident, license holder, or member of a sporting organization of that country, results management must be conducted by the applicable IF or by a third party as per the IF's rules. The *NADO* should confirm with the IF which of the two *ADOs* shall be the RMA.

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Resource: [WADA's Results Management, Hearings and Decisions Guidelines](#)

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Where the IF is the Testing Authority, they should also be the RMA to ensure consistency of decisions and avoid potential appeals of non-compliant decisions that may be rendered from its NFs.

For the management of Whereabouts Failures, the *ADO* with which the *Athlete* files his/her whereabouts is considered to be the RMA for each potential Whereabouts Failure.

RMA may be transferred if the *Athlete* with Whereabouts Failures is removed from an IF or *NADO RTP*, and the other *ADO* includes that *Athlete* in its *RTP*.

For test planning purposes, if the *Athlete* is in another *ADO's RTP*, the RMA responsible for Whereabouts Failures should also notify other relevant *ADOs* at the same time the *Athlete* is notified of the apparent Whereabouts Failure.

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## 11.0 National Federations

In addition to the points relating to NFs highlighted in earlier sections of this Guideline, the following principles should be applied by IFs and *NADOs*.

IFs must have provisions in their rules that require their member federations to adopt rules that are in compliance with the IF rules. The most effective way to do this is to have an automatic catch-all provision such as, "As a member of the IF, the NF and its members (*Athletes* and *Athlete Support Personnel*) automatically accept the anti-doping rules of the IF in their entirety."

*NADOs* may also require that the NFs under their jurisdiction adopt anti-doping rules at a national level. However, such rules should be complementary to the anti-doping rules of the respective IF, and not in conflict.

*NADOs* need to work in close cooperation with NFs. IFs can assist in promoting this relationship by communicating with their NFs to stress the importance and obligation of working closely with *NADOs*.

NFs are not *Code Signatories* as they are not defined as *ADOs* and, therefore, must not conduct *Testing* on their own. NFs that wish to have their *Athletes* tested must coordinate *Testing* with the *NADO* and/or IF, and ensure that the *NADO* or IF is the *Testing Authority*.

IFs are responsible for ensuring that their NFs do not conduct *Testing* on their own.

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## 12.0 Definitions

### 12.1 2015 Code Defined Terms

**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.

**Administration:** Providing, supplying, supervising, facilitating, or otherwise participating in the *Use* or *Attempted Use* by another *Person* of a *Prohibited Substance* or *Prohibited Method*. However, this definition shall not include the actions of bona fide medical personnel involving a *Prohibited Substance* or *Prohibited Method* used for genuine and legal therapeutic purposes or other acceptable justification and shall not include actions involving *Prohibited Substances* which are not prohibited in *Out-of-Competition Testing* unless the circumstances as a whole demonstrate that such *Prohibited Substances* are not intended for genuine and legal therapeutic purposes or are intended to enhance sport performance.

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

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

**Anti-Doping Organization (ADO):** A *Signatory* 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:** 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*, an *Anti-Doping Organization* may elect to: conduct limited *Testing* or no *Testing* at all; analyze *Samples* for less than the full menu of *Prohibited Substances*; require limited or no whereabouts information; or not require advance *TUEs*. However, if an

Article 2.1, 2.3 or 2.5 anti-doping rule violation is committed by any *Athlete* over whom an *Anti-Doping Organization* has authority who competes below the international or national level, then the *Consequences* set forth in the *Code* (except Article 14.3.2) must be applied. For purposes of Article 2.8 and Article 2.9 and for purposes of anti-doping information and education, any *Person* who participates in sport under the authority of any *Signatory*, government, or other sports organization accepting the *Code* is an *Athlete*.

*[Comment 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 (ABP)***: The program and methods of gathering and collating data as described in the International Standard for Testing and Investigations and International Standard for Laboratories.

***Athlete Support Personnel***: Any coach, trainer, manager, agent, team staff, official, medical, paramedical personnel, parent or any other *Person* working with, treating or assisting an *Athlete* participating in or preparing for sports *Competition*.

***Atypical Finding (ATF)***: 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*.

***Atypical Passport Finding (ATPF)***: A report described as an *Atypical Passport Finding* as described in the applicable *International Standards*.

***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.

**Consequences of Anti-Doping Rule Violations (Consequences):** An *Athlete's* or other *Person's* violation of an anti-doping rule may result in one or more of the following: (a) Disqualification means the *Athlete's* results in a particular *Competition* or *Event* are invalidated, with all resulting *Consequences* including forfeiture of any medals, points and prizes; (b) Ineligibility means the *Athlete* or other *Person* is barred on account of an anti-doping rule violation for a specified period of time from participating in any *Competition* or other activity or funding as provided in Article 10.12.1; (c) Provisional Suspension means the *Athlete* or other *Person* is barred temporarily from participating in any *Competition* or activity prior to the final decision at a hearing conducted under Article 8; (d) Financial Consequences means a financial sanction imposed for an anti-doping rule violation or to recover costs associated with an anti-doping rule violation; and (e) Public Disclosure or Public Reporting means the dissemination or distribution of information to the general public or *Persons* beyond those *Persons* entitled to earlier notification in accordance with Article 14. Teams in *Team Sports* may also be subject to *Consequences* as provided in Article 11.

**Disqualification:** See *Consequences of Anti-Doping Rule Violations* above.

**Doping Control:** All steps and processes from test distribution planning through to ultimate disposition of any appeal including all steps and processes in between such as provision of whereabouts information, *Sample* collection and handling, laboratory analysis, *TUEs*, results management and hearings.

**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*.

**Event Period:** The time between the beginning and end of an *Event*, as established by the ruling body of the *Event*.

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

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

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

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

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

**International Standard (IS):** A standard adopted by WADA in support of the Code. Compliance with an International Standard (as opposed to another alternative standard, practice or procedure) shall be sufficient to conclude that the procedures addressed by the International Standard were performed properly. International Standards shall include any Technical Documents issued pursuant to the International Standard.

**Major Event Organizations (MEOs):** The continental associations of National Olympic Committees and other international multi-sport organizations that function as the ruling body for any continental, regional or other International Event.

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

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

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

**National Olympic Committee (NOC):** 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 (OOC):** Any period which is not *In-Competition*.

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

**Possession:** The actual, physical *Possession*, or the constructive *Possession* (which shall be found only if the *Person* has exclusive control or intends to exercise control over the *Prohibited Substance* or *Prohibited Method* or the premises in which a *Prohibited Substance* or *Prohibited Method* exists); provided, however, that if the *Person* does not have exclusive control over the *Prohibited Substance* or *Prohibited Method* or the premises in which a *Prohibited Substance* or *Prohibited Method* exists, constructive *Possession* shall only be found if the *Person* knew about the presence of the *Prohibited Substance* or *Prohibited Method* and intended to exercise control over it. Provided, however, there shall be no anti-doping rule violation based solely on *Possession* if, prior to receiving notification of any kind that the *Person* has committed an anti-doping rule violation, the *Person* has taken concrete action demonstrating that the *Person* never intended to have *Possession* and has renounced *Possession* by explicitly declaring it to an *Anti-Doping Organization*. Notwithstanding anything to the contrary in this definition, the purchase (including by any electronic or other means) of a *Prohibited Substance* or *Prohibited Method* constitutes *Possession* by the *Person* who makes the purchase.

*[Comment: Under this definition, steroids found in an Athlete's car would constitute a violation unless the Athlete establishes that someone else used the car; in that event, the Anti-Doping Organization must establish that, even though the Athlete did not have exclusive control over the car, the Athlete knew about the steroids and intended to have control over the steroids. Similarly, in the example of steroids found in a home medicine cabinet under the joint control of an Athlete and spouse, the Anti-Doping Organization must establish that the Athlete knew the steroids were in the cabinet and that the Athlete intended to exercise control over the steroids. The act of purchasing a Prohibited Substance alone constitutes Possession, even where, for example, the product does not arrive, is received by someone else, or is sent to a third party address.]*

**Prohibited List:** The List identifying the *Prohibited Substances* and *Prohibited Methods*.

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

**Provisional Suspension:** See *Consequences of Anti-Doping Rule Violations* above.

**Regional Anti-Doping Organization (RADO):** A regional entity designated by member countries to coordinate and manage delegated areas of their national anti-doping programs, which may include the adoption and implementation of anti-doping rules, the planning and collection of *Samples*, the management of results, the review of *TUEs*, the conduct of hearings, and the conduct of educational programs at a regional level.

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

**Sample or Specimen:** Any biological material collected for the purposes of *Doping Control*.

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

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

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

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

**TUE:** Therapeutic Use Exemption, as described in Article 4.4.

**Use:** The utilization, application, ingestion, injection or consumption by any means whatsoever of any *Prohibited Substance* or *Prohibited Method*.

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

## 12.2 ISTI Defined Terms

**Chaperone**: An official who is 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 qualifies him/her to do so.

**Doping Control Officer (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.

**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.

**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.

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

**Results Management Authority (RMA)**: The organization that is responsible, in accordance with *Code* Article 7.1, for the management of the results of *Testing* (or other evidence of a potential anti-doping rule violation) and hearings, whether (1) an *Anti-Doping Organization* (for example, the International Olympic Committee or other *Major Event Organization*, WADA, an International Federation, or a *National Anti-Doping Organization*); or (2) another organization acting pursuant to the authority of and in accordance with the rules of the *Anti-Doping Organization* (for example, a National Federation that is a member of an International Federation). In

respect of Whereabouts Failures, the Results Management Authority shall be as set out in Article I.5.1.

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

**Test Distribution Plan (TDP)**: 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.

**Testing Authority**: The organization that has authorized a particular *Sample* collection, whether (1) an *Anti-Doping Organization* (for example, the International Olympic Committee or other *Major Event Organization*, WADA, an International Federation, or a *National Anti-Doping Organization*); or (2) another organization 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).

**Unsuccessful Attempt Report**: A detailed report of an unsuccessful attempt to collect a *Sample* from an *Athlete* in a *Registered 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 (WF)**: 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.

## 12.3 ISL Defined Terms

**Athlete Passport Management Unit (APMU)**: A unit composed of a *Person* or *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*.

**International Standard for Laboratories (ISL)**: The International Standard applicable to Laboratories as set forth herein.

**Laboratory(ies)**: 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.

**Major Event**: A series of individual international *Competitions* conducted together under an international multi-sport organization functioning as a ruling body (e.g., the Olympic Games, Pan American Games) and for which a significant increase of resources and capacity, as determined by WADA, is required to conduct *Doping Control* for the *Event*.

## 12.4 ISPPPI Defined Terms

**Anti-Doping Activities**: Activities specified by the *Code* and the *International Standards* to be carried out by *Anti-Doping Organizations*, and their Third-Party Agents, for the purpose of establishing whether anti-doping rule violations took place, including collecting whereabouts information; conducting *Testing*; performing results management; determining whether an *Athlete's Use of a Prohibited Substance or Prohibited Method* is strictly limited to legitimate and documented therapeutic purposes; educating *Participants* on their rights and responsibilities; conducting investigations into anti-doping rule violations; and initiating legal proceedings against those who are alleged to have committed such a violation.

## 12.5 ISTUE Defined Terms

**Therapeutic Use Exemption Committee (TUEC)**: The panel established by an *Anti-Doping Organization* to consider applications for *TUEs*.

## 12.6 ABP Operating Guidelines Defined Terms

**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)*.

# Annex

## Provisions from 2015 Code and *International Standards*

This annex includes provisions from the 2015 World Anti-Doping Code (*Code*), International Standard for Testing and Investigations (ISTI), International Standard for Therapeutic Use Exemptions (ISTUE), and Athlete Biological Passport (*ABP*) Operating Guidelines.

*Code* terms are written in italics. Terms from the *International Standards* are underlined.

## I. Education

### **Code Article 18 Education**

#### 18.1 Basic Principle and Primary Goal

The basic principle for information and education programs for doping-free sport is to preserve the spirit of sport, as described in the Introduction to the *Code*, from being undermined by doping. The primary goal of such programs is prevention. The objective shall be to prevent the intentional or unintentional *Use by Athletes of Prohibited Substances and Prohibited Methods*.

Information programs should focus on providing basic information to *Athletes* as described in Article 18.2. Education programs should focus on prevention. Prevention programs should be values based and directed towards *Athletes* and *Athlete Support Personnel* with a particular focus on young people through implementation in school curricula.

All *Signatories* shall within their means and scope of responsibility and in cooperation with each other, plan, implement, evaluate and monitor information, education, and prevention programs for doping-free sport.

#### 18.4 Coordination and Cooperation

*WADA* shall act as a central clearinghouse for informational and educational resources and/or programs developed by *WADA* or *Anti-Doping Organizations*.

All *Signatories* and *Athletes* and other *Persons* shall cooperate with each other and governments to coordinate their efforts in anti-doping information and education in order to share experience and ensure the effectiveness of these programs in preventing doping in sport.

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

### 20.3.12 Roles and Responsibilities of IFs

To promote anti-doping education, including requiring National Federations to conduct anti-doping education in coordination with the applicable *National Anti-Doping Organization*.

## **II. Test Distribution Planning**

### **ISTI Article 4.2 Risk Assessment**

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

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

### **ISTI Article 4.9 Coordinating 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:

- a) *Anti-Doping Organizations* shall consult with other relevant *Anti-Doping Organizations* in order to coordinate *Testing* activities and

to avoid duplication. Clear agreement on roles and responsibilities for *Event Testing* shall be agreed in advance in accordance with *Code Article 5.3*. Where such agreement is not possible, *WADA* will resolve the matter in accordance with the principles set out at *Annex J – Event Testing*.

- b) *Anti-Doping Organizations* shall, without any unnecessary delay, share information on their completed *Testing* with other relevant *Anti-Doping Organizations*, via *ADAMS* or any other system approved by *WADA*.

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

### III. ***Athlete Whereabouts***

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

##### 5.6 *Athlete Whereabouts Information*

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

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

#### **ISTI Article 4.8 Collecting whereabouts information**

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

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

## IV. Event Testing

### Code Article 5 Testing and Investigations

#### 5.2 Scope of Testing

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

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

#### 5.3 Event Testing

5.3.1 Except as otherwise provided below, only a single organization should be responsible for initiating and directing *Testing* at *Event Venues* during an *Event Period*. At *International Events*, the collection of *Samples* shall be initiated and directed by the international organization which is the ruling body for the *Event* (e.g., the International Olympic Committee for the Olympic Games, the International Federation for a World Championship, and the Pan-American Sports Organization for the Pan American Games). At *National Events*, the collection of *Samples* shall be initiated and directed by the *National Anti-Doping Organization* of that country. At the request of the ruling body for an *Event*, any *Testing* during the *Event Period* outside of the *Event Venues* shall be coordinated with that ruling body.

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

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

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

## V. *Athlete Biological Passport*

### **ABP Operating Guidelines**

#### 3.3 Specific Partner Responsibilities

##### 3.3.1. *Anti-Doping Organization*

The *ADO* is responsible for:

- Adopting, implementing and administrating an *ABP* in accordance with these Guidelines, including compliance with the *ISTI*.
- Ensuring that recommendations received from the APMU are converted into effective, targeted, timely and appropriate follow-up *Testing*.
- Sharing of relevant information with other *ADOs* (when appropriate).
- Following up on *Adverse Passport Findings (APFs)* in accordance with TD2015RMR (Appendix E) and *Code Article 7.5*. This presumes that the *ADO* is the *Passport Custodian*.

#### 4.0 *ABP Administration*

##### 4.4. *Passport Custodianship and Sharing*

For any individual *Athlete*, only one *Passport* should be established. By adopting standardized protocols and procedures, and using *ADAMS* for the management of *Passport* information, *ADOs* can enhance efficiencies and program effectiveness through exchange of information and mutual recognition of program outcomes. Such coordination and reciprocal agreement reduces unnecessary duplication in resource expenditure and fosters enhanced confidence among *ADOs* and *Athletes* alike.

Within the framework provided by the *ISPPPI*, *ADOs* are encouraged to coordinate their activities where multiple *ADOs* have *Testing* jurisdiction over a single *Athlete* and multiple *ADOs* may wish to perform *Passport Testing*. In the interests of a "one *Athlete* – one *Passport*" principle, *ADOs* are encouraged to work cooperatively to see that *Testing* is coordinated appropriately with all results collated in a unique *Athlete's Passport*. Any individual *Athlete* shall have a Passport Custodian that ensures that all *ADOs* that have *Testing* jurisdiction over the *Athlete* do not work in isolation.

The Passport Custodian is responsible for sharing *Passport* information with other *ADOs* to ensure proper coordination and best use of resource expenditure. *WADA* has developed a template agreement for the sharing of *Passport* information between multiple *ADOs* (supported by *ADAMS*), which is included herein as Appendix F.

In the case of an *ATPF*, the Passport Custodian is responsible for results management in compliance with Appendix E, regardless of whether another *ADO* was the Testing Authority of the test that triggered the *ATPF*.

In *ADAMS*, *Passport* custodianship is attributed to the Testing Authority that first tests the *Athlete*, independently of whether it is an *ABP* haematological or steroid test or both.\* This process ensures that the custodianship will most likely automatically be assigned to the organization that has a real interest in the *Athlete*.\*\* *Passport* custody can be transferred to another *ADO* with *Testing* jurisdiction over the *Athlete*.\*\*\*

\* Custodianships existing before August 2014 remain unaffected, to preserve existing sharing arrangements between *ADOs*.

\*\* When the *Athlete* is first tested by a *Major Event Organizer (MEO)*, *Passport* custody is attributed to the IF. When a *NADO* first tests an *Athlete* with a different sport nationality, *Passport* custody is attributed to the IF. This can later be reassigned to another *NADO* if appropriate.

\*\*\* If no agreement can be found on the *Passport* custodianship, *WADA* shall determine which *ADO* is the *Athlete's Passport Custodian*. *WADA* shall not rule on this without consulting the *ADOs* involved.

## VI. Sharing of Intelligence and Investigations

### ISTI Article 12.4 Investigation outcomes

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.

## ISTI Article 11.4 Intelligence Outcomes

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).

## VII. Therapeutic Use Exemptions

### Code Article 4.4 Therapeutic Use Exemptions

4.4.3 An *Athlete* who is an *International-Level Athlete* should apply to his or her International Federation.

4.4.3.1 Where the *Athlete* already has a *TUE* granted by his or her *National Anti-Doping Organization* for the substance or method in question, if that *TUE* meets the criteria set out in the International Standard for Therapeutic Use Exemptions, then the International Federation must recognize it. If the International Federation considers that the *TUE* does not meet those criteria and so refuses to recognize it, it must notify the *Athlete* and his or her *National Anti-Doping Organization* promptly, with reasons. The *Athlete* or the *National Anti-Doping Organization* shall have 21 days from such notification to refer the matter to *WADA* for review. If the matter is referred to *WADA* for review, the *TUE* granted by the *National Anti-Doping Organization* remains valid for national-level *Competition* and *Out-of-Competition Testing* (but is not valid for international-level *Competition*) pending *WADA*'s decision. If the matter is not referred to *WADA* for review, the *TUE* becomes invalid for any purpose when the 21-day review deadline expires.

4.4.3.2 If the *Athlete* does not already have a *TUE* granted by his or her *National Anti-Doping Organization* for the substance or method in question, the *Athlete* must apply directly to his or her International Federation for a *TUE* as soon as the need arises. If the International Federation (or the *National Anti-Doping Organization*, where it has agreed to consider the application on behalf of the International Federation) denies the *Athlete*'s

application, it must notify the *Athlete* promptly, with reasons. If the International Federation grants the *Athlete's* application, it must notify not only the *Athlete* but also his or her *National Anti-Doping Organization*, and if the *National Anti-Doping Organization* considers that the *TUE* does not meet the criteria set out in the International Standard for Therapeutic Use Exemptions, it has 21 days from such notification to refer the matter to *WADA* for review. If the *National Anti-Doping Organization* refers the matter to *WADA* for review, the *TUE* granted by the International Federation remains valid for international-level *Competition* and *Out-of-Competition Testing* (but is not valid for national-level *Competition*) pending *WADA's* decision. If the *National Anti-Doping Organization* does not refer the matter to *WADA* for review, the *TUE* granted by the International Federation becomes valid for national-level *Competition* as well when the 21-day review deadline expires.

*[Comment to Article 4.4.3: If the International Federation refuses to recognize a TUE granted by a National Anti-Doping Organization only because medical records or other information are missing that are needed to demonstrate satisfaction with the criteria in the International Standard for Therapeutic Use Exemptions, the matter should not be referred to WADA. Instead, the file should be completed and re-submitted to the International Federation.]*

*If an International Federation chooses to test an Athlete who is not an International-Level Athlete, it must recognize a TUE granted to that Athlete by his or her National Anti-Doping Organization.]*

- 4.4.4.2 Where the *Athlete* already has a *TUE* granted by his or her *National Anti-Doping Organization* or International Federation, if that *TUE* meets the criteria set out in the International Standard for Therapeutic Use Exemptions, the *Major Event Organization* must recognize it. If the *Major Event Organization* decides the *TUE* does not meet those criteria and so refuses to recognize it, it must notify the *Athlete* promptly, explaining its reasons.

## **ISTUE Article 5.0 Responsibilities of *Anti-Doping Organizations***

- 5.4 Each *National Anti-Doping Organization*, International Federation and *Major Event Organization* must promptly report (in English or French) all decisions of its TUEC granting or denying *TUEs*, and all decisions to recognize or refusing to recognize other *Anti-Doping Organizations' TUE* decisions, through *ADAMS* or any other system approved by *WADA*. In

respect of *TUEs* granted, the information reported shall include (in English or French):

- a. not only the approved substance or method, but also the dosage(s), frequency and route of *Administration* permitted, the duration of the *TUE*, and any conditions imposed in connection with the *TUE*; and
- b. the *TUE* application form and the relevant clinical information (translated into English or French) establishing that the Article 4.1 conditions have been satisfied in respect of such *TUE* (for access only by *WADA*, the *Athlete's National Anti-Doping Organization* and International Federation, and the *Major Event Organization* organizing an *Event* in which the *Athlete* wishes to compete).

[*Comment to 5.4: The process of recognition of TUEs is greatly facilitated by use of ADAMS.*]

- 5.5 When a *National Anti-Doping Organization* grants a *TUE* to an *Athlete*, it must warn him/her in writing (a) that that *TUE* is valid at national level only, and (b) that if the *Athlete* becomes an *International-Level Athlete* or competes in an *International Event*, that *TUE* will not be valid for those purposes unless it is recognized by the relevant International Federation or *Major Event Organization* in accordance with Article 7.1. Thereafter, the *National Anti-Doping Organization* should help the *Athlete* to determine when he/she needs to submit the *TUE* to an International Federation or *Major Event Organization* for recognition, and should guide and support the *Athlete* through the recognition process.
- 5.6 Each International Federation and *Major Event Organization* must publish a notice (at a minimum, by posting it in a conspicuous place on its website and sending it to *WADA*) that sets out clearly (1) which *Athletes* coming under its jurisdiction are required to apply to it for a *TUE*, and when; (2) which *TUE* decisions of other *Anti-Doping Organizations* it will automatically recognize in lieu of such application, in accordance with Article 7.1(a); and (3) which *TUE* decisions of other *Anti-Doping Organizations* will have to be submitted to it for recognition, in accordance with Article 7.1(b). *WADA* may re-publish the notice on its own website.
- 5.7 Any *TUE* that an *Athlete* has obtained from a *National Anti-Doping Organization* shall not be valid if the *Athlete* becomes an *International-Level Athlete* or competes in an *International Event* unless and until the relevant

International Federation recognizes that *TUE* in accordance with Article 7.0. Any *TUE* that an *Athlete* has obtained from an International Federation shall not be valid if the *Athlete* competes in an *International Event* organized by a *Major Event Organization*, unless and until the relevant *Major Event Organization* recognizes that *TUE* in accordance with Article 7.0. As a result, if the International Federation or *Major Event Organization* (as applicable) declines to recognize that *TUE*, then (subject to the *Athlete's* rights of review and appeal) that *TUE* may not be relied upon to excuse the presence, *Use*, *Possession* or *Administration* of the *Prohibited Substance* or *Prohibited Method* mentioned in the *TUE* vis-à-vis that International Federation or *Major Event Organization*.

### **ISTUE Article 7.0 TUE Recognition Process**

- 7.1 *Code* Article 4.4 requires *Anti-Doping Organizations* to recognize *TUEs* granted by other *Anti-Doping Organizations* that satisfy the Article 4.1 conditions. Therefore, if an *Athlete* who becomes subject to the *TUE* requirements of an International Federation or *Major Event Organization* already has a *TUE*, he/she should not submit an application for a new *TUE* to the International Federation or *Major Event Organization*. Instead:
- a. The International Federation or *Major Event Organization* may publish notice that it will automatically recognize *TUE* decisions made pursuant to *Code* Article 4.4 (or certain categories of such decisions, e.g., those made by specified *Anti-Doping Organizations*, or those relating to particular *Prohibited Substances*), provided that such *TUE* decisions have been reported in accordance with Article 5.4 and therefore are available for review by WADA. If the *Athlete's TUE* falls into a category of *TUEs* that are automatically recognized in this way at the time the *TUE* is granted, he/she does not need to take any further action.

*[Comment to 7.1(a): To ease the burden on Athletes, automatic recognition of TUE decisions once they have been reported in accordance with Article 5.4 is strongly encouraged. If an International Federation or Major Event Organizer is not willing to grant automatic recognition of all such decisions, it should grant automatic recognition of as many such decisions as possible, e.g., by publishing a list of Anti-Doping Organizations whose TUE decisions it will recognize automatically, and/or a list of those Prohibited Substances for which it will automatically recognize TUEs. Publication should be in the same manner as is set out in Article 5.3, i.e., the notice should be posted on the International Federation's website and sent to WADA and to National Anti-Doping Organizations.]*

- b. In the absence of such automatic recognition, the *Athlete* shall submit a request for recognition of the *TUE* to the International Federation or *Major Event Organization* in question, either via *ADAMS* or as otherwise specified by that International Federation or *Major Event Organization*. The request should be accompanied by a copy of the *TUE* and the original *TUE* application form and supporting materials referenced at Articles 6.1 and 6.2 (unless the *Anti-Doping Organization* that granted the *TUE* has already made the *TUE* and supporting materials available via *ADAMS* or other system approved by *WADA*, in accordance with Article 5.4).

## VIII. Results Management

### Notice of Anti-Doping Rule Violations

#### Code Article 7.0 Results Management

##### 7.1 Responsibility for Conducting Results Management

- 7.1.1 In circumstances where the rules of a *National Anti-Doping Organization* do not give the *National Anti-Doping Organization* authority over an *Athlete* or other *Person* who is not a national, resident, license holder, or member of a sport organization of that country, or the *National Anti-Doping Organization* declines to exercise such authority, results management shall be conducted by the applicable International Federation or by a third party as directed by the rules of the International Federation. Results management and the conduct of hearings for a test conducted by *WADA* on its own initiative, or an anti-doping rule violation discovered by *WADA*, will be conducted by the *Anti-Doping Organization* designated by *WADA*. Results management and the conduct of hearings for a test conducted by the International Olympic Committee, the International Paralympic Committee, or another *Major Event Organization*, or an anti-doping rule violation discovered by one of those organizations, shall be referred to the applicable International Federation in relation to *Consequences* beyond exclusion from the *Event*, *Disqualification* of *Event* results, forfeiture of any medals, points, or prizes from the *Event*, or recovery of costs applicable to the anti-doping rule violation.

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*[Comment to Article 7.1.1: The Athlete's or other Person's International Federation has been made the Anti-Doping Organization of last resort for results management to avoid the possibility that no Anti-Doping Organization would have authority to conduct results management. An International Federation is free to provide in its own anti-doping rules that the Athlete's or other Person's National Anti-Doping Organization shall conduct results management.]*

7.3 Notification After Review Regarding  
*Adverse Analytical Findings*

{...} If the *Anti-Doping Organization* decides not to bring forward the *Adverse Analytical Finding* as an anti-doping rule violation, it shall so notify the *Athlete* and the *Anti-Doping Organizations* as described in Article 14.1.2.

7.8 Identification of Prior Anti-Doping Rule Violations

Before giving an *Athlete* or other *Person* notice of an asserted anti-doping rule violation as provided above, the *Anti-Doping Organization* shall refer to ADAMS or another system approved by WADA and contact WADA and other relevant *Anti-Doping Organizations* to determine whether any prior anti-doping rule violation exists.

7.10 Notification of Results Management Decisions

In all cases where an *Anti-Doping Organization* has asserted the commission of an anti-doping rule violation, withdrawn the assertion of an anti-doping rule violation, imposed a *Provisional Suspension*, or agreed with an *Athlete* or other *Person* to the imposition of a sanction without a hearing, that *Anti-Doping Organization* shall give notice thereof as set forth in Article 14.2.1 to other *Anti-Doping Organizations* with a right to appeal under Article 13.2.3.

### **Code Article 13 Appeals**

13.5 Notification of Appeal Decisions

Any *Anti-Doping Organization* that is a party to an appeal shall promptly provide the appeal decision to the *Athlete* or other *Person* and to the other *Anti-Doping Organizations* that would have been entitled to appeal under Article 13.2.3 as provided under Article 14.2.

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

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

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

### 14.2 Notice of Anti-Doping Rule Violation Decisions and Request for Files

14.2.1 Anti-doping rule violation decisions rendered pursuant to Article 7.10, 8.4, 10.4, 10.5, 10.6, 10.12.3 or 13.5 shall include the full reasons for the decision, including, if applicable, a justification for why the maximum potential sanction was not imposed. Where the decision is not in English or French, the *Anti-Doping Organization* shall provide a short English or French summary of the decision and the supporting reasons.

14.2.2 An *Anti-Doping Organization* having a right to appeal a decision received pursuant to Article 14.2.1 may, within 15 days of receipt, request a copy of the full case file pertaining to the decision.

## **Whereabouts Failures**

### *Code Article 7.1 Responsibility for Conducting Results Management*

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

## **ISTI Annex I.5 Results Management**

I.51. In accordance with *Code* Articles 7.1.2 and 7.6, the Results Management Authority in relation to potential Whereabouts Failures shall be the International Federation or the *National Anti-Doping Organization* with whom the *Athlete* in question files his/her whereabouts information.

*[Comment to 1.5.1: If an Anti-Doping Organization that receives an Athlete's Whereabouts Filings (and so is his/her Results Management Authority for whereabouts purposes) removes the Athlete from its Registered Testing Pool after recording one or two Whereabouts Failures against him/her, then if the Athlete remains in (or is put in) another Anti-Doping Organization's Registered Testing Pool, and that other Anti-Doping Organization starts receiving his/her Whereabouts Filings, then that other Anti-Doping Organization becomes the Results Management Authority in respect of all Whereabouts Failures by that Athlete, including those recorded by the first Anti-Doping Organization. In that case, the first Anti-Doping Organization shall provide the second Anti-Doping Organization with full information about the Whereabouts Failure(s) recorded by the first Anti-Doping Organization in the relevant period, so that if the second Anti-Doping Organization records any further Whereabouts Failure(s) against that Athlete, it has all the information it needs to bring proceedings against him/her, in accordance with Article 1.5.4, for violation of Code Article 2.4.]*

#### **Code Article 7.6 Review of Whereabouts Failures**

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

ISTI Annex 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 1.3.6 requirements (in the case of a Filing Failure) or all of the Article 1.4.3 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 1.5.2(b): WADA's Guidelines for Implementing an Effective Athlete Whereabouts Program include guidance as to what explanations may or may not excuse an apparent Filing Failure or Missed Test.]*

- c. If the Results Management Authority concludes that any of the relevant requirements have not been met (so that no Whereabouts Failure should be declared), it shall so advise WADA, the International Federation or *National Anti-Doping Organization* (as applicable), and the *Anti-Doping Organization* that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with *Code* Article 13.
- d. If the Results Management Authority concludes that all of the relevant requirements have been met, it shall notify the *Athlete* within 14 days of the date of the apparent Whereabouts Failure. The notice shall include sufficient details of the apparent Whereabouts Failure to enable the *Athlete* to respond meaningfully, and shall give the *Athlete* a reasonable deadline to respond, advising whether he/she admits the Whereabouts Failure and, if not, then why not. The notice should also advise the *Athlete* that three Whereabouts Failures in any 12-month period is a *Code* Article 2.4 anti-doping rule violation, and should note whether he/she has any other Whereabouts Failures recorded against him/her in the previous 12 months. In the case of a Filing Failure, the notice must also advise the *Athlete* that in order to avoid a further Filing Failure he/she must file the missing whereabouts information by the deadline specified in the notice (which must be no less than 24 hours after receipt of the notice and no later than the end of the month in which the notice is received).
- e. If the *Athlete* does not respond within the specified deadline, the Results Management Authority shall record the notified Whereabouts Failure against him/her. If the *Athlete* does respond within the deadline, it shall consider whether his/her response changes its original decision that all of the requirements for recording a Whereabouts Failure have been met.

- i. If so, it shall so advise *WADA*, the International Federation or *National Anti-Doping Organization* (as applicable), and the *Anti-Doping Organization* that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with *Code* Article 13.
  - ii. If not, it shall so advise the *Athlete* (with reasons) and specify a reasonable deadline by which he/she may request an administrative review of its decision. The Unsuccessful Attempt Report should be provided to the *Athlete* at this point if it has not been provided to him/her earlier in the process.
- f. If the *Athlete* does not request an administrative review by the specified deadline, the Results Management Authority shall record the notified Whereabouts Failure against him/her. If the *Athlete* does request an administrative review before the deadline, it shall be carried out, based on the papers only, by one or more persons not previously involved in the assessment of the apparent Whereabouts Failure. The purpose of the administrative review shall be to determine anew whether or not all of the relevant requirements for recording a Whereabouts Failure are met.
  - g. If the conclusion following administrative review is that all of the requirements for recording a Whereabouts Failure are not met, the Results Management Authority shall so advise *WADA*, the International Federation or *National Anti-Doping Organization* (as applicable), and the *Anti-Doping Organization* that uncovered the Whereabouts Failure, giving reasons for its decision. Each of them shall have a right of appeal against that decision in accordance with *Code* Article 13. On the other hand, if the conclusion is that all of the requirements for recording a Whereabouts Failure are met, it shall notify the *Athlete* and shall record the notified Whereabouts Failure against him/her.

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

*[Comment to I.5.3: For the avoidance of doubt, the Results Management Authority is entitled to notify other relevant *Anti-Doping Organizations* (on a strictly confidential basis) of the apparent Whereabouts Failure at an earlier stage of the results management process, where it considers it appropriate (for test planning*

*purposes or otherwise). In addition, an Anti-Doping Organization may publish a general statistical report of its activities that discloses in general terms the number of Whereabouts Failures that have been recorded in respect of Athletes under its jurisdiction during a particular period, provided that it does not publish any information that might reveal the identity of the Athletes involved. Prior to any proceedings under Code Article 2.4, an Anti-Doping Organization should not Publicly Disclose that a particular Athlete does (or does not) have any Whereabouts Failures recorded against him/her (or that a particular sport does, or does not, have Athletes with Whereabouts Failures recorded against them).]*