ISTI

Breath Alcohol Testing Guidelines

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1.0 Introduction

These Guidelines expand upon the World Anti-Doping Agency’s (WADA’s) International Standard for Testing and Investigations (ISTI) and detail the recommended process for Breath Alcohol Testing for Doping Control purposes.

Recommendations provided relate to on-site preparation, Sample collection and post-test processing and administration.

The processes outlined in this document promote good practice moving forward and assist Anti-Doping Organizations (ADOs) in the development of systems and protocols to support intelligent, effective Testing programs.

The method of Testing may vary slightly from these recommendations in some circumstances; however, mandatory ISTI provisions apply to ensure that the integrity of the Testing is maintained.

1.1 Scope

The Guidelines cover the Breath Alcohol Testing process, from roles and responsibilities; planning and preparation; Athlete notification and chaperoning; the Screening Test, Confirmation Test and post-test administration; to transfer of the appropriate documentation to the courier or Testing Authority.

1.2 References

1.2.1 Defined Terms

The Guidelines include defined terms from the World Anti-Doping Code (Code) and these International Standards (IS): ISTI and International Standard for Laboratories (ISL). Code terms are written in italics. Terms from the IS are underlined.

These definitions are listed in Guidelines Section 6.0.
1.2.2 Documentation

The following are considered as main references for the Breath Alcohol Testing Guidelines, all of which are available on WADA’s Web site:

- 2015 World Anti-Doping Code
- International Standard for Testing and Investigations
- WADA’s Guidelines for Implementing an Effective Testing Program

Related support documentation is provided in Annex A: Recruitment, Training, Accreditation, and Re-Accreditation of Breath Alcohol Technicians (BATs).
2.0 Roles and Responsibilities

2.1 *Testing Authority / Sample Collection Authority*

ADOs contracting other ADOs or third parties to act as *Sample Collection Authorities* are considered *Testing Authorities*.

The *Sample Collection Authority* is responsible for the overall conduct of the Breath Alcohol *Testing* Session. Main activities are listed below, some of which may be performed by the *Testing Authority* or delegated to the *Doping Control Officer* (DCO).

Unique to the *Testing Authority* role is instituting ISTI Annex A – Investigating a Possible Failure to Comply.

**Preparation:**

- Determine the necessary competence and qualification requirements of *Sample Collection Personnel*, establish an accreditation / re-accreditation system, and develop duty statements that outline their respective responsibilities.

- Appoint and authorize *Sample Collection Personnel*, ensuring personnel have been trained for their assigned responsibilities, have no conflict of interest in the outcome of the *Sample* collection and are not *Minors*.

- Maintain records of education, training, skills, and experience of all *Sample Collection Personnel*.

- Delegate specific responsibilities to the *Doping Control Officer* (DCO).

- Provide official documentation to *Sample Collection Personnel* validating their authority to collect a *Sample* from the *Athlete*, e.g. an authorization letter from the *Testing Authority*.

- Obtain the necessary information to ensure the effective conduct of the *Sample Collection Session*, including identifying if the *Athlete* has special requirements (ISTI Annex B - Modifications for *Athletes* with Impairments and Annex C - Modifications for *Athletes* who are *Minors*).

**Athlete notification:**

- Establish a system for locating the selected *Athlete*, planning the approach and timing of notification, and recording in detail *Athlete* notification attempt(s) and outcome(s).

- Establish criteria to validate the notified *Athlete’s* identity.
• Determine if a third party is required for notification prior to notification of the Athlete when the Athlete is a Minor or where required by an Athlete’s impairment (ISTI Annex B and C), or in situations where an interpreter is required.

**Sample collection:**

• Establish criteria for the authorization of who may be present during the Breath Alcohol Testing Session in addition to Sample Collection Personnel.

• Develop a system to ensure that documentation is completed for each Breath Alcohol Testing and is securely handled.

**Post-test administration:**

• Authorize a transport system that ensures Testing documentation is transported in a manner that protects their integrity, identity and security.

• Develop a system for recording Chain of Custody of the Breath Alcohol Testing documentation, including confirmation that the Testing documentation has arrived at its intended destination.

• Store documentation related to a Breath Alcohol Testing Session and or an anti-doping rule violation in accordance with the International Standard for the Protection of Privacy and Personal Information (ISPPPI).
2.2 **Doping Control Officer**

One lead/senior *Doping Control Officer* (DCO) oversees the *Breath Alcohol Testing* session. If professionally qualified, the DCO may also perform the duties of a BAT. This Guidelines document allows for both scenarios.

**On-site preparation:**

- Organize equipment, including all relevant documentation.
- Organize and brief *Sample Collection Personnel* prior to or upon arrival at the *Doping Control Station*, including *Athlete* notification, chaperoning, *breath Testing* process and urine and/or blood *Sample* collection (if applicable).
- Ensure that *Chaperones* are trained in carrying out relevant activities.
- Assess and organize the *Testing* facilities.

**Athlete notification:**

- Arrange or perform notification and escorting of *Athletes*.
- Liaise with sport representatives, if relevant.
- Ensure that the *Athlete’s* rights and responsibilities are explained.
- Explain, or arrange explanation of, the process for *Breath Alcohol Testing* to *Athletes* and *Athlete Representatives*, as necessary.

**Testing session:**

- Undertake and/or oversee the *Breath Alcohol Testing* process.
- Coordinate collection of accompanying urine *Sample* and/or blood *Sample* if relevant.
- Report a *Failure to Comply*.

**Post-test administration:**

- Oversee the post-*Testing* process.
- Complete, or arrange completion of, and verify, the relevant documentation.
- Verify the *Chain of Custody*.
- Organize courier services, if necessary.
2.3 **Breath Alcohol Technician**

The Breath Alcohol Technician (BAT) possesses the following qualifications:

a. Certification from a trained BAT or a BAT-certifying organization;

b. Experience in Breath Alcohol Testing; and

c. Authorization from the Sample Collection Authority to conduct Breath Alcohol Testing.

*Testing process:*

- Explain the procedure to Athletes prior to Testing or offer to provide an explanation.
- Answer relevant questions from Athletes about the procedure.
- Prepare the Athlete and conduct the Breath Alcohol Testing.

See Annex A for detailed requirements for BAT recruitment, training, accreditation, and re-accreditation.

2.4 **Chaperone**

A Chaperone may be assigned additional duties for blood and/or urine Sample collection. The duties listed below relate to Breath Alcohol Testing only.

*On-site preparation:*

- Receive training from the DCO. Chaperones with no experience are to be trained by the DCO on site.

- Training will include the requirements for notification, chaperoning and witnessing Sample provision (if applicable), and confidentiality obligations.

*Athlete notification:*

- Notify the Athlete in person as instructed by the DCO.
- Escort the Athlete from notification until arrival at the Doping Control Station.
2.5 **Sample Collection Personnel**

*Sample collection:*

- Conduct or assist with the *Sample Collection Session*.
- These individuals must:
  - Be trained and authorized for their assigned responsibilities;
  - Not have any conflict of interest in the outcome of the *Sample* collection; and
  - Not be a *Minor*.

2.6 **Athlete**

*Athlete notification:*

- Request the presence of an *Athlete Representative*, if desired.
- Be escorted from notification to *Sample* provision.

*Testing session:*

- Report for *Doping Control* as soon as possible, and within the specified time frame, unless there are valid reasons for a delay, as per ISTI Article 5.4.4 (a) and (b).
- Provide valid ID.
- Remain within direct observation of the *DCO/Chaperone* at all times from the point of initial contact with the *DCO/Chaperone* to completion of the *Breath Alcohol Testing* procedure.
- Once notified, should not consume any food or beverage prior to breath *Testing*.
- Be familiar and comply with the *Breath Alcohol Testing* process.
- Observe the procedure and ensure there are no irregularities (e.g. insufficient choice or inadequate equipment).
- Comment on the *Breath Alcohol Testing* process in the area(s) provided on the *Doping Control* documentation, if applicable; ask questions as needed.
- Sign documentation as requested by the *DCO*.
2.7 **Athlete Representative**

The presence of an *Athlete Representative* is optional, but strongly recommended for *Athletes* who are *Minors* or where required by an *Athlete’s* impairment (ISTI Annex B - Modifications for *Athletes* with Impairments and Annex C - Modifications for *Athletes* who are *Minors*).

**Athlete notification:**

- Accompany the *Athlete* during notification.
- Accompany the *Athlete* to the *Testing* facility.

**Testing session:**

- Assist in the selection of equipment, if requested by the *Athlete*.
- Assist the *Athlete* in the completion of documentation, if requested by the *Athlete*.
- Be familiar and comply with the *Testing* process.
- Observe the *Testing* process and ensure there are no irregularities.
- Sign documentation as requested by the *DCO*.

3.0 **Preparation for the Breath Alcohol Testing Session**

The protocol for the *Breath Alcohol Testing Session* is divided into the following areas.

3.1 **Required Equipment and Supplies**

The *DCO* ensures the required equipment and supplies are in place for the *Testing* session.

There may be slight variations in equipment. As a general rule, the following are to be made available:

a. At least 2 approved *Evidentiary Breath Alcohol Devices*.

b. Preferably, a portable printer to display and provide a printout of the *Evidentiary Breath Alcohol Device* findings.

c. Individually sealed *Breath Alcohol Mouthpieces*. 
d. Calibration device and/or calibration protocol or evidence about the Testing devices.

e. Scissors, pens and other applicable stationary.

f. All Doping Control documentation.*

* Includes Doping Control forms, Athlete notification forms (if not part of the Doping Control form), supplementary report forms, Chain of Custody forms, DCO report forms, etc.

### 3.2 Sufficient Quantities

Sufficient quantities of Breath Alcohol Testing Equipment should be made available to ensure:

- An Athlete selected for Testing has a choice of at least three Evidentiary Breath Alcohol Devices at all times.
- The amount of Doping Control documentation supplied is based upon the number of tests being conducted.

Insufficient choice will not invalidate the legitimacy of the collection process, however it is recommended that both the Athlete and DCO or Athlete Representative (as assigned by the DCO) attest in writing to the adequacy of the equipment used.

### 3.3 System Criteria

Breath Alcohol Testing Equipment systems are to

Ensure that all equipment is clean and intact prior to use by the Athlete.

### 3.4 Sample Collection Personnel Briefing

The DCO briefs the Sample Collection Personnel on their roles and responsibilities prior to or upon arrival at the Doping Control Station.

This includes Athlete notification, chaperoning, breath Testing, and related urine and blood Sample collection, if applicable. (See ISTI Article 7 and WADA's Sample Collection Personnel: Recruitment, Training, Accreditation, and Re-Accreditation Guidelines.)

Sample Collection Personnel appointed to conduct or assist with the Breath Alcohol Testing Session must meet the qualifications listed in Guidelines Section 2.5.

During the briefing, the DCO presents official documentation (e.g. an authorization letter from the Testing Authority) to Sample Collection Personnel that details the DCO's authority to test the Athlete.
3.5 Facilities

Privacy, sole use and cleanliness are required for a facility to be used as a Doping Control Station.

If the facility does not offer the Athlete privacy, and/or is intended to be used for purposes other than Doping Control while Breath Alcohol Testing is being carried out, the DCO locates an alternative location.

The DCO documents any significant variations from these criteria. ADOs can request that a sketch of the Doping Control Station be included in the DCO’s report.

3.5.1 Criteria

In addition to meeting privacy, sole use and cleanliness requirements, the Breath Alcohol Testing facilities are to:

a. Maintain Athlete confidentiality.
b. Be well lit and well ventilated.
c. Provide managed entry with access restricted to authorized personnel.
d. Be lockable and provide secure storage for Breath Alcohol Testing Equipment.
e. Include a work station with a table and chairs.
f. Be sized according to the number of Athletes, Athlete Representatives and Sample Collection Personnel who will occupy the area.
g. Be suitably located in relation to the field of play or other location where the Athletes will be notified.

Transportation

Should the Doping Control Station be some distance from the sporting venue where the Athletes compete/finish, the DCO is to arrange with the Event organizer appropriate transportation for Athletes, Athlete Representatives and Sample Collection Personnel – both to the Doping Control Station and either back to the venue or other agreed location/s upon completion of the Breath Alcohol Testing process.

3.5.2 Access Restrictions

The DCO can assign Sample Collection Personnel to monitor access to the Testing facility to ensure admission of authorized persons only, or request the Event organizer to assign personnel.
Testing facility access is restricted to the Athlete, the Athlete Representative, an interpreter (if required), and Sample Collection Personnel, unless otherwise approved by the DCO.

Additional personnel requesting access may include an International Federation (IF) representative, an ADO observer, a Testing Authority or Sample Collection Authority observer, an auditor, or a WADA observer, where applicable under the Agency’s Independent Observer Program (ISTI 6.3.3 (d)). These personnel are required to present the DCO with adequate identification and accreditation upon arrival at the Doping Control Station.

Members of the media are not allowed entry to the Doping Control Station at any time.

4.0 Athlete Notification

The DCO/Chaperone performs the following sequence of actions:

1. Establish the location of the selected Athlete, and plan the approach and timing of notification, taking into account any specific circumstances of the sport/Competition/training session/etc., and the situation, as per No Advance Notice Testing.

The DCO takes into consideration all logistical factors, (e.g. venue-specific, sport-specific, etc.) when planning the appropriate timing and approach for Athlete notification. Among the factors to consider:

- Challenges faced in sports with mass finishes.
- The presence of a mixed zone at the venue.
- Using Technical Delegates of the Competition to assist in identifying/confirming final positions.
- Sports where it is common that Athletes are Minors and/or have an impairment that may require a third party present during notification.

2. The DCO communicates relevant factors to all Sample Collection Personnel in advance.

3. The DCO/Chaperone identifies himself/herself and shows the Athlete the official authorization documentation provided by the Testing Authority or Sample Collection Authority that granted the authority to test.
Additional photo ID is carried by the DCO that includes name, photograph, and the documents’ expiry date, i.e. ID card from the Sample Collection Authority, driver’s license, passport, or similar valid ID.

Chaperones are not required to provide name or photo ID, but are to produce official authorization documentation provided by the Testing Authority or Sample Collection Authority (e.g. authorization letter).

4. The DCO/Chaperone ensures that the Athlete is the first Person notified that he/she has been selected for Breath Alcohol Testing.

Exceptions:

- The Athlete is a Minor, has a impairment and/or an interpreter is needed, and the Testing Authority or Sample Collection Authority/DCO/Chaperone considers it a requirement to notify a third party prior to the notification of the Athlete.

- The DCO/Chaperone requires assistance from a third party (e.g. sport representative) in locating, identifying and/or notifying the Athlete(s) selected for Testing, due to the DCO/Chaperone being unfamiliar with the Athlete or the venue at which the Breath Alcohol Testing Session is taking place (e.g. In-Competition Testing or Testing at training camps).

In either scenario, the DCO/Chaperone provides the initial notification directly to the Athlete and, where applicable, through an interpreter.

5. The DCO/Chaperone verbally confirms the Athlete’s identity as per the criteria set by the Testing Authority or Sample Collection Authority and records the form of ID in the Doping Control documentation (ISTI Article 5.3.4).

Formal identification:

Formal identification can be established by photo ID, starting number, accreditation, third party Witness, or other viable method as established by the Testing Authority and Sample Collection Authority.

If the Athlete’s identity is unknown and cannot be confirmed, the DCO decides if it is appropriate to follow up in accordance with ISTI Annex A – Investigating a Possible Failure to Comply. DCOs with a cell phone can take a photograph of the Athlete and forward the photo with their report.

An Athlete’s ability to provide photo ID shall not invalidate a test.
6. The DCO/Chaperone shows the Athlete the notification form (which may be part of the Doping Control form), and then notifies the Athlete of the following:

The Athlete has been selected for Testing and is required to undergo Breath Alcohol Testing.

a. The authority conducting the Testing. (The Testing Authority is the ADO that initiated and authorized the Breath Alcohol Testing Session.)

b. The type of Sample collection (which may also refer to breath alcohol although no actual Sample is collected) and any mandatory conditions prior to Breath Alcohol Testing, including the requirement for the Athlete to provide their Sample in direct observation of a DCO/Chaperone as applicable.

c. The requirement to undergo Testing without delay.

d. The DCO shall use their discretion if an Athlete cannot undergo a test without delay. The DCO shall inform the Athlete of the possible Consequences of Anti-Doping Rule Violations (Consequences) for failing to submit to Breath Alcohol Testing.

e. The Athlete’s rights, including the right to:
   - Have an Athlete Representative present throughout the Testing process and, if required and available, an interpreter.
   - Ask questions and request additional information about the Testing process.
   - Request a delay in reporting to the Doping Control Station for valid reasons as described in ISTI Article 5.4.4 (a) and (b).
   - Request modifications to the Sample collection procedure if the Athlete is a Minor and/or has an impairment (ISTI Annex B - Modifications for Athletes with Impairments or Annex C - Modifications for Athletes who are Minors).

f. The Athlete’s responsibilities (Guidelines Section 2.6), including the requirement to:
   - Remain within direct observation of the DCO/Chaperone at all times from the point initial contact is made by the DCO/Chaperone until the completion of the Breath Alcohol Testing process.
   - Produce appropriate and valid ID.
- Be familiar and comply with the Breath Alcohol Testing procedures. (The Athlete should be advised of the possible Consequences of Failure to Comply).
- Report for Doping Control immediately, unless there are valid reasons for a delay, as per ISTI Article 5.4.4 (a) and (b).

g. The location of the Doping Control Station.
h. The DCO/Chaperone provides the Athlete notification form to read and sign.
i. If an Athlete copy of the official notification record exists, the DCO/Chaperone provides it to the Athlete.

5.0 Breath Alcohol Testing Session Protocol

5.1 Arrival at the Doping Control Station

The Athlete arrives at Doping Control Station with a DCO/Chaperone and, if requested, an Athlete Representative. At this time, the Athlete should present a photo ID to the DCO or BAT. An Athlete’s inability to provide a photo ID shall not invalidate a test.

The Athlete should be advised not to eat, drink or put anything (e.g. chewing gum) into his/her mouth.

The Athlete must submit to Breath Alcohol Testing immediately upon arrival at the Doping Control Station and shall be chaperoned at all times until the testing is complete.

Before Testing, the BAT shall ask the Athlete whether he/she has been tested before, and if an explanation of the Testing procedure is required. If the Athlete has not been tested before, or requests an explanation of the procedure, the BAT shall explain the Breath Alcohol Testing procedure to the Athlete.

At a minimum, the DCO shall ensure the Athlete is informed of his/her rights and responsibilities as defined in Guidelines Sections 2.6 and 4.0.

5.2 Breath Alcohol Mouthpiece Selection

The Athlete must be given a choice of at least 3 individually sealed Breath Alcohol Mouthpieces, from which he/she will be asked to choose one.
The Athlete and BAT shall check that the equipment is clean and intact. If either the Athlete or BAT is not satisfied with the equipment, the Athlete shall make another selection.

If the Athlete is not satisfied with any of the equipment, and the BAT does not agree with the Athlete’s opinion that all of the available equipment is unsatisfactory, the BAT shall instruct the Athlete to proceed with the Breath Alcohol Testing session. The Athlete’s views must be recorded by the BAT on the Doping Control form and/or supplementary report form, if applicable.

If both the BAT and the Athlete agree that none of the equipment is satisfactory, the BAT shall terminate the testing and record the reasons for termination.

Once a Mouthpiece has been selected, the BAT shall instruct the Athlete to insert it into the Evidentiary Breath Testing Device.

### 5.3 Screening Test

For the Screening Test, the BAT shall instruct the Athlete to blow steadily and forcefully into the Breath Alcohol Mouthpiece until the Evidentiary Breath Testing Device indicates that an adequate amount of breath has been obtained.

The BAT shall show the Athlete the test result displayed. A printout of the reading shall then be made that indicates the test number, Testing device name and serial number, time, and result. The BAT and Athlete must ensure that the information is printed correctly.

If it is not possible to make a printout, the DCO shall record the result displayed on the screen on the Doping Control form, including the Testing device brand, type and serial number; date of the last calibration (or calibration expiration date); and the time. All are confirmed by the Athlete, Athlete Representative (if present), and the DCO and/or BAT.

If the Evidentiary Breath Testing Device reading is below the threshold, as specified in WADA’s Prohibited List, the Athlete is asked to complete the Doping Control form and provided with a copy of the documentation. No further action will be taken.

If a reading is not obtained, the Athlete shall continue the process until a reading is displayed on the device. If the Athlete is unable to provide an adequate breath, the Testing shall be treated as a refusal.

### 5.4 Confirmation Test

If the Screening Test reading is greater than the Alcohol Concentration threshold, the BAT shall inform the Athlete and the Athlete Representative (if present) that a
Confirmation Test will be done following a 10-minute waiting period that begins once the Screening Test is completed. The BAT should begin the Confirmation Test as soon as possible following this waiting period, and no longer than 30 minutes after the completion of the Screening Test.

In the presence of the Athlete, the BAT performs an Air Blank test on the Evidentiary Breath Alcohol Device before beginning the Confirmation Test, and shows the reading to the Athlete. An alternate Evidentiary Breath Alcohol Device should be used if the DCO/BAT has more than one available.

If the Air Blank reading is 0.00, the Confirmation Test can proceed. If the Air Blank reading is greater than 0.00, the BAT must conduct another Air Blank test.

If the second Air Blank reading is 0.00, the Confirmation Test can proceed. If the reading of Air Blank test is greater than 0.00, the BAT must remove the Evidentiary Breath Alcohol Device from service. If another Evidentiary Breath Alcohol Device is available, the BAT shall proceed with a new test. If another Evidentiary Breath Alcohol Device is not available, the Confirmation Test is terminated. The reason for terminating the Confirmation Test shall be recorded in the Doping Control form and no further action will be taken.

The Athlete must be given a choice of at least 3 individually sealed Breath Alcohol Mouthpieces. He/she will be asked to choose one device and, if required, follow the steps outlined above until a suitable Mouthpiece has been chosen.

For the Confirmation Test, the BAT shall instruct the Athlete to blow steadily and forcefully into the Mouthpiece for at least 6 seconds, or until the Evidentiary Breath Alcohol Device indicates that an adequate amount of breath has been obtained. If a reading is not obtained, the Athlete shall continue the process until a reading is displayed on the device.

The BAT shall show the Athlete the displayed test result of the Confirmation Test.

A print out shall be made of the Confirmation Test indicating the test number, testing device name and serial number, time and result. The BAT and Athlete must ensure that the information has been printed correctly.

If it is not possible to make a printout, the DCO shall record the result displayed on the screen on the Doping Control form, including the Testing device brand, type and serial number; date of the last calibration (or calibration expiration date); and the time. All are confirmed by the Athlete, Athlete Representative (if present), and the DCO and/or BAT. If the reading is below the threshold, the Athlete is asked to

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1 A 10-minute waiting period is suggested to ensure any residual alcohol in one’s mouth is no longer present. Residual alcohol could be a result of mouth wash or other food. Such a waiting period will limit false positives.
complete the *Doping Control* form and is provided with a copy of the documentation and no further action will be taken.

Should the Confirmation Test reading be greater than the threshold, the BAT shall inform the Athlete and Athlete Representative (if present) of the result, ask them to complete the *Doping Control* form, and provide them a copy of the documentation.

The BAT then performs a reference Confirmation Test on the Evidentiary Breath Alcohol Device in accordance with the manufacturer’s instructions. The Athlete is provided a copy of the reference Confirmation Test and all documentation will be forwarded to the relevant Testing Authority.

### 5.5 Completing the *Doping Control* Form

The DCO instructs the BAT to sign the *Doping Control* form to confirm that he/she conducted a Breath Alcohol Testing on the Athlete in accordance with ISTI mandatory procedures.

The DCO checks all information on the form with the Athlete and the Athlete’s Representative to confirm that it accurately reflects the details of the Breath Alcohol Testing, and fills in any incomplete areas in view of the Athlete.

The Athlete is given the opportunity to complete the comments section of the form if he/she has any concerns or comments regarding how the Breath Alcohol Testing was conducted. If there is insufficient space on the form, the Athlete is provided a supplementary report form.

If present, the Athlete’s Representative signs the *Doping Control* form.

The Athlete and DCO then sign the *Doping Control* form.

The Athlete should always be the last person to sign the *Doping Control* form.

The DCO provides the Athlete with a full copy of the *Doping Control* form, the supplementary report form (if used) and any other documentation signed by the Athlete.

Unless also required to provide a urine or blood Sample, the Athlete can leave the Doping Control Station.

If an Athlete is also required to provide a urine and/or blood Sample, and the *Doping Control* form records both urine and/or blood collection, the paperwork will not be fully completed until after collection of urine and/or blood Samples.

A comprehensive list of the information to be recorded on the form at a minimum is provided in ISTI Article 7.4.5.
The **DCO** shall arrange for the secure transport of the *Testing* documentation to the *Testing Authority* as soon as possible following completion of the *Breath Alcohol Testing*. 
6.0 Definitions

6.1 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.

**Anti-Doping Organization**: 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...]

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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.]

**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, Consequences of ADVRs):** 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.

**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).

**In-Competition:** 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.

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

**International Standard:** 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.

**Minor:** A natural Person who has not reached the age of eighteen years.

**Out-of-Competition:** Any period which is not In-Competition.

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

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

*Comment: 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.*

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

**WADA:** The World Anti-Doping Agency.
6.2 ISTI Defined Terms

**Chain of Custody:** The sequence of individuals or organizations who have responsibility for the custody of a *Sample* from the provision of the *Sample* until the *Sample* has been delivered to the Laboratory for analysis.

**Chaperone:** An official who is 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 (or DCO):** An official who has been trained and authorized by the *Sample Collection Authority* to carry out the responsibilities given to DCOs in the International Standard for Testing and Investigations.

**Doping Control Station:** The location where the *Sample Collection Session* will be conducted.

**Failure to Comply:** A term used to describe anti-doping rule violations under *Code* Articles 2.3 and/or 2.5.

**No Advance Notice Testing:** *Sample* collection that takes place with no advance warning to the *Athlete* and where the *Athlete* is continuously chaperoned from the moment of notification through *Sample* provision.

**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 Authority:** The organization that is responsible for the collection of *Samples* in compliance with the requirements of the International Standard for Testing and Investigations, whether (1) the *Testing Authority* itself; or (2) another organization (for example, a third party contractor) to whom the
**Testing Authority** has delegated or sub-contracted such responsibility (provided that the **Testing Authority** always remains ultimately responsible under the **Code** for compliance with the requirements of the International Standard for Testing and Investigations relating to collection of **Samples**).

**Sample Collection Equipment**: Containers or apparatus used to collect or hold the **Sample** at any time during the **Sample Collection Session**. **Sample Collection Equipment** shall, as a minimum, consist of:

- For urine **Sample** collection:
  - Collection vessels for collecting the **Sample** as it leaves the **Athlete’s body**;
  - Suitable kit for storing partial **Samples** securely until the **Athlete** is able to provide more urine; and
  - Sealable and tamper-evident bottles and lids for storing and transporting the complete **Sample** securely.

- For blood **Sample** collection:
  - Needles for collecting the **Sample**;
  - Blood tubes with sealable and tamper-evident devices for storing and transporting the **Sample** securely.

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

**Sample Collection Session**: All of the sequential activities that directly involve the **Athlete** from the point that initial contact is made until the **Athlete** leaves the **Doping Control Station** after having provided his/her **Sample(s)**.

**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).

**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.
**Witness:** The member of *Sample Collection Personnel* who observes the passing of the *Sample* by the *Athlete* in accordance with the procedures for observation.

### 6.3 Breath Alcohol Testing Guidelines Defined Terms

**Air Blank:** A reading of 0.00 on an *Evidentiary Breath Testing Device* of ambient air containing no alcohol.

**Alcohol Concentration:** The alcohol in a volume of breath expressed in terms of grams of alcohol per 210 liters of breath.

**Breath Alcohol Testing:** A testing process that is carried out through volume of breath into an *Evidentiary Breath Alcohol Device* to obtain a quantitative measurement of Alcohol Concentration.

**Breath Alcohol Mouthpiece (Mouthpiece):** A plastic disposable tube that is inserted to an *Evidentiary Breath Alcohol Device*.

**Breath Alcohol Technician (BAT):** An official who is certified to and has been authorized by the *Sample Collection Authority* to conduct Breath Alcohol Testing from an *Athlete*.

**Confirmation Test:** A subsequent test using an *Evidentiary Breath Alcohol Device*, following a Screening Test with a result above a specified threshold level, that provides quantitative data about the Alcohol Concentration.

**Evidentiary Breath Alcohol Device:** A device that has the ability to provide a quantitative measurement of Alcohol Concentration.

**Screening Test:** An initial test using an *Evidentiary Breath Alcohol Device* that provides quantitative data about the Alcohol Concentration.
Annex A - Requirements for Recruitment, Training, Accreditation, and Re-Accreditation of Breath Alcohol Technicians (BATs)

1. Recruitment of BATs

1.1 Sample Collection Authority should recruit BATs who possess, at a minimum, the following attributes:

a. Certification for Breath Alcohol Testing from a trained BAT or a BAT certifying organization.

b. Experience in Breath Alcohol Testing.

c. Ability to answer relevant questions from Athletes about the procedure.

d. Ability to follow procedures and protocols.

e. Ability to maintain confidential information.

f. Ability to demonstrate respectful and professional behavior.

g. Freedom from conflict of interest with Athletes and/or sport in which Testing will be conducted (ISTI Annex H 4.2).

h. Awareness of, and comfort with, the responsibilities of a BAT.

i. Willingness to be subject to a security check.

2. Training of BATs

2.1 The Sample Collection Authority shall ensure that a BAT possesses the relevant training and qualifications in the area of Breath Alcohol Testing.

2.2 The Sample Collection Authority shall ensure that a BAT receives theory training, at a minimum, in the following areas:


b. National Policy/Legislation requirements.

c. Specific sport and Athlete requirements.

d. Roles and responsibilities of DCOs and Chaperones.

e. Use of Breath Alcohol Testing Equipment.
2.3 The *Sample Collection Authority* shall develop training resources outlining the most relevant sections of the theory component for easy reference and review by BATs.

2.4 The *Sample Collection Authority* shall ensure that a BAT receives practical training involving the observation of at least one simulated Breath Alcohol Testing session.

### 3. Accreditation of BATs

3.1 To be accredited by a *Sample Collection Authority* as a BAT, the individual shall demonstrate knowledge of the theory and practical training requirements.

3.2 Prior to accreditation, the individual shall also agree to the following conditions:

   a. Completion of a Code of Conduct Agreement.
   b. Completion of a Declaration of Confidentiality.
   c. Completion of a Declaration of Conflict of Interest.
   d. Completion of any further relevant documents as required by the *Sample Collection Authority*.

3.3 A BAT shall be accredited by the *Sample Collection Authority* for a minimum of the length of the Breath Alcohol Testing session or Event.

3.4 A BAT shall carry evidence of his/her accreditation in the form of photo ID or Testing Authority authorization letter.

### 4. Re-Accreditation of BATs

4.1 BATs who have not been accredited by the *Sample Collection Authority* within the last 3 months shall be required to review the theory component of training.

4.2 If the BAT has not been accredited within the last 6 months, all requirements for accreditation shall apply.